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ABSTRACT

During the year the foundation staff completed the formation of eight program areas in which to concentrate future research. Four of these areas are major, and it is expected that they will receive larger appropriations in the next few years than the four minor program areas. The major program areas are: Age and Aging; Evaluation Research and Organizational Performance; Law and Social Science; and Civil Liberties and Social Control. The minor program areas are: Increasing the Use of Social Science Research; Race, Gender, and Ethnicity; Historical Studies of Social Policy; and Philanthropy. The annual report is organized around these new program areas, followed by financial statements. (LBH)

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Russell Sage Foundation Annual Report 1974-1975

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U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION

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Letter of Gift

To the Trustees of Russell Sage Foundation:

I have transferred to Russell Sage Foundation securities and cash aggregating in value ten million dollars [there was a later addition of five million] . . . to constitute a fund, the principal of which . . . shall be held, and the income thereof applied to the improvement of social and living conditions in the United States of America. . . .

The scope of the Foundation is not only national but is broad. It should, however, preferably not undertake to do that which is now being done or is likely to be effectively done by other individuals or by other agencies. It should be its aim to take up the larger and more difficult problems, and to take them up so far as possible in such a manner as to secure co-operation and aid in their solution. . . .

Yours sincerely,

Margaret Olivia Sage

New York, April 19, 1907

Operating Policies

Russell Sage Foundation, one of the oldest general purpose foundations in the United States, was established in 1907 for "the improvement of social and living conditions in the United States." In recent years, it has given primary attention to the application of social science research to social policy formation in the following areas: age and aging, law, civil liberties, and evaluation research and organizational performance. Among other activities, the Foundation:

* maintains a professional staff of social scientists who both engage in their own research and advise on a wide range of projects;

* participates in the planning of each study or program, is an active partner in its operation, and reserves the right to publish any resulting manuscripts;

* assures widespread dissemination of the research it sponsors through publication of books and monographs;

* devotes particular attention to the application of findings of its research projects, usually by following projects into at least the early stages of practical utilization;

* collaborates with other granting agencies and academic institutions in studies of social problems;

* sponsors special seminars on current social problems;

* supports a cross-disciplinary training and research program in law and social science;

* conducts a Visiting Scholar Program and a Graduate Student Fellowship Program, under which persons working in the areas of current interest to the Foundation join the staff for one year to consult and continue their own research and writing.

Approximately one-fourth of Russell Sage Foundation's annual expenditures supports projects conducted by its staff members. In recent years, the number of resident social scientists has expanded, both through additions to the staff and as a result of the Visiting Scholar and Graduate Student Fellowship Programs. All members of the staff spend part of their time on Foundation administration and the remainder on their own social science research projects. A supporting staff of approximately thirty persons manages publications and provides secretarial and research assistance.

Russell Sage Foundation 1974-1975

The year 1974–1975 was an especially productive one for Russell Sage Foundation. The staff completed the formation of eight program areas in which to concentrate future research, and these programs were approved by the Trustees. Four of these areas are major: it is expected that they will receive larger appropriations in the next few years than the four minor program areas. The designation of major and minor program areas is not intended to denote substantive priorities, but instead reflects the degree of preparedness on the part of the Foundation staff to deal with the topics. The major program areas are: Age and Aging; Evaluation Research and Organizational Performance; Law and Social Science; and Civil Liberties and Social Control. The minor program areas are: Increasing the Use of Social Science Research; Race, Gender, and Ethnicity; Historical Studies of Social Policy; and Philanthropy.

This year's *Annual Report* is organized around these new program areas. Therefore, some sections, Law and Social Science, for example, are lengthy, indicating that the new program evolved directly from work already in progress at the Foundation. Others, Civil Liberties and Social Control, for example, are totally new areas of research for the Foundation and the brevity of the section reflects the fact that work has just begun in that area.

The Foundation staff expects to make further refinements in these programs during the coming years and it is probable that some shifts in emphasis will occur.

Contents

Age and Aging	1
Evaluation Research and Organizational Performance	7
Law and Social Science	19
Civil Liberties and Social Control	30
Increasing the Use of Social Science Research	33
Race, Gender, and Ethnicity	38
Historical Studies of Social Policy	45
Philanthropy	47
Developing the Social Sciences	49
Visiting Scholar and Graduate Fellow Programs	62
Publications	65
Financial Statements	69

Age and Aging

The new program on age, officially launched in January 1975, builds upon the Foundation's many years of earlier work on aging and society and incorporates several projects currently in progress. The aim is to encourage the dissemination and application of social science knowledge about age, and to continue to stimulate development of new knowledge through research. The program focuses on age both as a characteristic of individuals over the life course and as a fundamental aspect of social structure and social change. Three problem areas have been defined for study. All three carry potentials of relevance for public policy and professional practice, and promise to broaden the existing conceptual frameworks.

New program

One set of problems to be studied relates to the division of society into age strata. Such age stratification creates inequalities among old, middle-aged, and young in the roles available to them and the associated rewards. It also leads to age segregation, and it tends to produce cleavage and possible conflict between generations.

A second set of research problems concerns the process of aging from birth to death. What strains and hidden sufferings accompany life-course transitions at every phase—from entering the first grade, finding the first job, marrying, becoming a parent, to retiring, or losing a mate? How do strains develop and how can they be alleviated? What are the societal consequences of the frequently proposed interventions in a single transition—such as the latent consequences for people of all ages entailed by the suggested rephasing of education and work at the time of entry into adulthood, or the effects on cognitive functioning of retraining programs for older people, or the impact on the family life cycle of developing child-care centers?

A third set of research problems springs from the impact of social change on both the age structure and on the ways in which people age. For example, how

will the generations which are now old differ from those reaching old age in the future? What new societal arrangements are likely to develop as generations of differing size follow one another?

Social change and the life course

During the early months of planning for this new program, a theoretical investigation of the impact of social change on the patterns of growing older was begun by Neil J. Smelser, University of California at Berkeley. Working closely with the Foundation staff, Professor Smelser is subjecting to critical analysis the literature on age stratification and the life course, and is developing plans for empirical tests and an eventual monograph. His focus is on the relations among such variables as: (1) institutional changes—increased specialization of occupational roles, segregation of family and work roles, and increasing specialization of educational systems; (2) the sets of age strata differentiated by size, education, skills, and attitudes; and (3) life course—the timetable or program for successive involvements of individuals in different kinds of roles at different phases of their lives.

Dynamics of age stratification

Also during the early stages of the program, a unique opportunity presented itself for a modest empirical investigation of the three main problem areas in the microcosm of a comparatively simple age-graded society—the Latuka. An agricultural people of the Southern Sudan, the Latuka utilize age as a major basis for allocating political power and other social roles. Every twenty years the entire Latuka populace (about 100,000) gathers for a sacred ceremony marking the transfer of power from one generation to the next. This ceremony is scheduled to take place in the summer of 1976. To take advantage of this opportunity, a small study was funded. An interdisciplinary research team under the direction of David Kertzer, an anthropologist at Bowdoin College, and Anne Foner, a sociologist at Rutgers University, will study the process of aging and the succession of generations in the context of social change. This inquiry should help specify the conceptual model of the dynamics of age stratification. It will illustrate in detail how the activities of people, their attitudes toward life, their relationships to family or work, their biological capacities, and physical fitness are all conditioned by their positions in the age structure.

From adolescence to adulthood

Another project with a related substantive orientation examines the processes and strains of moving from adolescence into adulthood in a complex society. Conducted by Margaret Mooney Marini, Battelle Human Affairs Research Center in Seattle, the study analyzes United States data that trace the effects of various family, school, and peer-group influences over a fifteen-year period after high school. Adult outcomes are assessed through measures of social and personal well-being; job, marital, personal, and community satisfaction; and personal esteem. The data come from a 1973 follow-up (compared with a control sample) of the high school students surveyed by James S. Coleman in 1957–58 as reported in *The Adolescent Society.*

Children and child care

Among the forerunners of the new program on age is the continuing work of Sarane Spence Boocock, Russell Sage Foundation, on the status of children and the child-care system. This phase of the project, which is gathering data about the daily lives of children, aims to assess the differing views of children obtained by interviewers of varying ages, and the relative strengths and weaknesses of data gathered by children and by adults. Data are being collected from a sample of approximately 300 children, aged 4 and 7, in six settings selected to vary in location, socioeconomic status, and racial and ethnic composition. Half of the children are being interviewed by children (aged 10 to 12); the other half by adults. Interviewing so far has been completed in two locations (Brunswick, Maine, and Bennington, Vermont) and arrangements for the other settings are being worked out.

Effects of day care

Highlighting the current shift away from family care to group care of preschool children, the project directed by Benjamin Zablocki, Columbia University, continues to concentrate on the development and societal impacts of the developing institution of child-care centers. The study is thus another in the long research tradition of the Foundation of the early identification of potential social problems before they have acquired great public visibility. During the first year of his study, Professor Zablocki has focused on the interaction among ten district agencies currently competing for control over the regulation of collective child care. He has studied the emergence of day care as

a social institution through a comparative analysis of programs in six large cities located in the major geographical areas of the United States. He has examined the impact of day care on role-definition within two-parent families; on the emergence of self-image among day-care professionals, on the influence of day-care use on fertility and fertility expectations; and on the adequacy of day care in selected neighborhoods in each of the six cities.

Aging and society

Matilda White Riley, Bowdoin College and Russell Sage Foundation, has continued to direct the Foundation's earlier project on aging and society, which has now been phased into the new program. As senior author of the Foundation's three volumes, *Aging and Society*, Professor Riley—along with her collaborators—has developed an international network of scholars concerned with continuing and implementing the earlier effort. The current thrust is to maintain and expand this network as a means of communicating the expanding knowledge in the field and of stimulating research and application. During the year, papers and publications have been stimulated on such diverse topics as lifelong education and age stratification, disordered cohort flow, age stratification in social systems, cohort patterns in the sense of personal control, age stratification and age conflict, the relation of age to class and other bases of stratification, age and sex in voluntary activity, and the social problems pertaining to age and aging. Professor Riley, who regularly consults with others prominent in the field and provides liaison between the Foundation and outside organizations with related concerns, continues to oversee the integration of elements of the Foundation's original project into the new program.

The Quality of American Life

An important earlier project with close ties to the new age program has been completed by Angus Campbell, Philip Converse, and Willard Rodgers, Institute for Social Research, University of Michigan. Currently in production, a manuscript entitled *The Quality of American Life: Perceptions, Evaluations, and Satisfactions* reports the findings of the study. The research develops measures of the subjective well-being of individuals of all ages. It sets a baseline for periodic replications to provide indicators of social change and

cohort analyses of life-course patterns. Publication is scheduled early in 1976.

The first section of the book discusses conceptual and methodological issues. The second section develops indicators for broad areas of life, including the housing environment, the experience of work, marriage and family life, and personal resources and personal competence. The final section focuses on the quality of life of two major social groups, women and Blacks. The book includes an introduction and the following chapters:

Contents

The General Sense of Well-Being
Domains of Life Experience
Bias in Measurement
Some General Influences on Reports of Satisfaction
Satisfaction, Aspirations, and Expectations
The Residential Environment
The Country as a Domain of Experience
The Experience of Work
Marriage and Family Life
Personal Resources and Personal Competence
The Situation of Women
The Quality of Life Experience of Black People
The Perceived Quality of Life and Its Implications.

Replication study

This book sets a baseline for periodic replications to provide indicators of social change and panel analyses of life-course patterns. A plan for such replications, to be conducted by Angus Campbell, Robert Kahn, and Philip Converse, Institute for Social Research, University of Michigan, has been approved in principle by the Foundation. The proposed study will "monitor" the quality of life over the decade from 1971 through 1980, documenting nationwide trends in the ways in which Americans evaluate their lives, and relating people's personal assessments to changes in their objective circumstances. In addition, this research will explore the extent to which people give and receive social support from significant other people during life transitions which are particularly stressful—as they move from school to work, retire, or lose a mate. The study, following a modified panel design, will make possible an analysis of aging as it varies from one cohort (or generation) to the next and

as it reflects historical and social change. The project has the advantage of allowing cooperation and synthesis with several Foundation programs especially with the program on age, which has originated and developed concepts and methods to be employed in this new research.

Evaluation Research and Organizational Performance

Increasingly at the federal, state, and local levels there is concern with having available the necessary information to judge the efficacy and efficiency of programs in various human resource areas. As a private foundation, Russell Sage Foundation is in a unique position to undertake such assessments, to evaluate studies that assess organizational effectiveness, and to facilitate the development of mechanisms that yield better research projects.

Evaluation Research

Because of the important role evaluation can play in providing information for the policymaking process, the Foundation for several years has supported a variety of projects dealing with evaluation research and plans to continue to support such research in the future. Some of the past research projects have attempted to evaluate particular social action programs or groups of programs, some have dealt with the methodological and institutional problems involved in conducting evaluation research, and others have attempted to improve the available tools by doing secondary evaluations. The Foundation's work in evaluation research resulted this year in the publication of two books.

New books: Academic and Entrepreneurial Research

A report on evaluation efforts at the federal level, *Academic and Entrepreneurial Research: The Consequences of Diversity in Federal Evaluation Studies* by Ilene H. Bernstein, Indiana University, and Howard E. Freeman, University of California at Los Angeles and Russell Sage Foundation, was published this year. It is a survey of evaluation studies supported by the federal government in fiscal 1970. Distinguishing between an assessment of the implementation of the programs and the results of the evaluation studies, Professors Bernstein and Freeman found that of the 236 studies on which they had information, only 84 included procedures to measure both implementation and

results. The authors themselves provided a criterion measure to evaluate the quality of the research and found that very few studies could be classified as of high quality. Using multivariate analysis they found that in general, high quality evaluations can be expected when investigators are well-trained social scientists working in university environments and receiving support via a grant mechanism which involves peer review of proposals.

Recommendations

In their conclusion, Professors Bernstein and Freeman have provided a series of recommendations for a public evaluation policy. Among their recommendations are: (1) that investigators and funding agencies plan to complete evaluation research studies so that the results are available early in the federal decision-making process; (2) that evaluation efforts be made the responsibility of those who are close to the highest levels of political decision-making; (3) that in addition to peer review as the means of program selection, a group of well-trained evaluation researchers be appointed to analyze the processes by which evaluation research is funded; and (4) that multiple evaluations be conducted in programs of extreme national importance. Chapters in the book include:

The Evaluation-Research Endeavor
Design of the Study
Federally Supported Evaluation Research
Measurement of Process in Evaluation Research
Measurement of Impact in Evaluation Research
Academic and Entrepreneurial Research:
A Multivariate Analysis
Recommendations for a National Policy.

"Sesame Street" Revisited

For several years the Foundation has funded important secondary evaluations. This year the first book to evolve from these secondary evaluation studies was published and another manuscript was completed and accepted for publication. *"Sesame Street" Revisited*, a reanalysis of the evaluation of the television program "Sesame Street" conducted by the Educational Testing Service (ETS), was published in 1975. The book was written by Thomas D. Cook, Northwestern University, and his associates—Hilary Appleton, University of Winnipeg; Ross F. Conner, University

of California at Irvine; Ann Shaffer, now with Procter and Gamble; Gary Tamkin, Massachusetts Department of Mental Health; and Stephen J. Weber, University of New Hampshire. Employing several sources of data in addition to those supplied by ETS, Professor Cook's group reports that the educational gap between advantaged and disadvantaged children may actually be increased by viewing "Sesame Street." In addition, they found that not all relevant factors were considered in the experimental design employed by ETS. Professor Cook and his associates also redefined the experimental stimulus as the encouragement to view "Sesame Street" rather than just the viewing itself. The findings of the reanalysis have been criticized by the authors of the original evaluation, Samuel Ball and Gerry Bogatz of ETS, and they have contributed a final chapter included in the book in which they reject the major conclusions of Professor Cook and his associates.

The book contains a Foreword by Howard E. Freeman and the following twelve chapters:

Contents

Objectives and a Summary of the Major Findings
The General Objectives of "Sesame Street" and of Our Evaluation
Formative and Summative Evaluation Research in the Context of "Sesame Street"
Preliminary Descriptive Analyses of the First-Year ETS Data
The Effects of Encouragement-and-Viewing in the First-Year Evaluation
The Effects of Encouragement-and-Viewing in the Second Season of "Sesame Street"
The Probable Effects of "Sesame Street" on the National Achievement Gap
The Dollar Costs of "Sesame Street"
Placing a Value on "Sesame Street" and on Three National Objectives for Preschool Programs
Some Implications of Our Evaluation for Social Policy Relevant to "Sesame Street"
Some Thoughts on this Secondary Evaluation (by Samuel Ball and Gerry Ann Bogatz).

"*Sesame Street*" *Revisited* was the first book published in the new Russell Sage Foundation series, "Continuities in Evaluation Research." Books in this series will

explore a wide range of evaluation research activities. Each book will share the same objective: to describe what went on during the evaluation effort and to examine further the methods, findings, and conclusions of important investigations.

The negative income tax experiment

The second book in this series will be *Reforming Public Welfare: A Critique of the Negative Income Tax Experiment* by Peter H. Rossi, University of Massachusetts at Amherst, and Katherine Lyall, Johns Hopkins University. The results of the New Jersey-Pennsylvania Negative Income Tax Experiment have been presented to the public in some 1,500 pages covering topics ranging from accounts of the administration of the experiment to multivariate analyses of responses to the experimental treatments. In addition to studying these reports issued by Mathematica, Inc., and the Institute for Research on Poverty, University of Wisconsin at Madison, the authors have conducted interviews with the principal investigators, government officials who monitored the experiment, and government officials interested in its outcome. In the secondary analysis, the authors conclude that the experiment itself is a considerable social science achievement and that social scientists can learn much from a careful analysis of field experiences, the design of the experiment, the measurement of critical variables, and the resulting data. The manuscript resulting from the study includes a history of the experiment, dealing especially with the decision to fund it and with the use of preliminary experimental data in the debate over the Family Assistance Plan; an analysis of the decisions that went into the design of the experiment and the consequences of those decisions for internal and external validity of experimental results; an analysis of the field experience; and a summary and critical commentary on the results of the experiment. The manuscript is currently in production and the book is scheduled for publication in the spring of 1976.

Performance contracting

A third project focusing on a secondary evaluation is a critical assessment of the now defunct Office of Economic Opportunity's (OEO) performance contracting experiment. In their analysis of this experiment, Henry M. Levin and Richard E. Snow, Stanford University, found a number of experimental conditions were violated raising important questions

about the original findings. These aspects include the sampling, nature of treatments, measures of achievement, and analysis of the data. Their review of these dimensions of the performance contracting evaluation suggests that many of the conclusions must be open to serious question. The manuscript being prepared by Professors Levin and Snow scrutinizes each of these issues and its implications for the findings of the evaluation, and suggestions are made with respect to how future evaluations might avoid some of the problems that characterized the initial one. Their completed manuscript is expected early in 1976.

Examination of evaluation models

Standard statistical research tools alone cannot guide the choice of evaluation methodologies and designs. Richard A. Berk, Northwestern University, is examining what criteria other than scientific should be employed in the choice of evaluation methods and designs and how good an empirical fit is achieved between various evaluation goals (such as speedy production of findings, flexibility, political feasibility, and scientific validity) and evaluation methods. To test fit empirically, Professor Berk will use data from actual evaluations, conduct a series of secondary analyses, and compare the results of different methods. He will reanalyze a true experiment designed to test the effects of a Spanish version of "Sesame Street" ("Plaza Sesamo") on the cognitive abilities of pre-schoolers, and a second true experiment on the effects of group counseling in a California prison on attitudinal change and parole experiences. In the first case, Professor Berk will attempt to determine whether compelling statistical differences between experimentals and controls would have been revealed in a quasi-experimental design. In the second case, where the experiment showed no treatment effects, he will determine what happens when various selection biases replace random selection and assignment. A third set of data to be analyzed are the result of an experiment conducted by the Department of Labor to see if unemployment compensation reduces recidivism for property crimes.

Support was provided this year for the establishment of a group of social scientists drawn from faculty and graduate students in different departments and professional schools at Stanford University to form

Stanford Evaluation Consortium

a seminar to focus on the improvement of evaluation research in the field of education. Known as the Stanford Evaluation Consortium, and directed by Lee J. Cronbach, the activities of this newly formed group will focus on: development of new theoretical premises for evaluation, better integration between the practice of evaluation and the conduct of decision-making, improvement of evaluative instruments and techniques, and raising critical standards in the evaluation field. Most of the early efforts have centered on mapping the problems needing investigation in the evaluation field. Consortium members have met regularly to hear from visitors and to discuss issues among themselves. A subgroup has produced a draft "Intellectual Agenda," outlining the topics for scholarly work. Projects pursued by "task forces" include a review of the California State Department of Education's evaluation of their Early Childhood Education program, a technical paper defining the sources of bias in the nonrandom, two-group quasi-experiment, and an assessment of the recent study of the impact of desegregation conducted by the Rand Corporation.

State-level evaluation research

Most reviews of evaluation research have focused on work supported by federal funds and little is known about evaluation research sponsored by state governments. Therefore, the Foundation this year provided funds for Robert N. Binstock, Brandeis University, to examine state-level evaluation research. Professor Binstock plans to study the work in five states selected for their political, regional, and demographic diversity; and each of the studies will be a thorough examination of the ways evaluation research sponsored by state governments are developed, completed, and utilized. The findings about the different states will be compared and it is expected that the results will produce recommendations which will be useful to all states.

To aid in the dissemination of evaluation research, the Foundation is supporting a project designed to provide timely, independent reviews of major evaluation research projects. At the present time almost none of the evaluations completed for the federal government are reviewed independently to insure that professional standards of research are maintained. Howard E. Freeman, University of

California at Los Angeles and Russell Sage Foundation, will work with the project's advisory committee which at present has the following members: Richard A. Berk, Northwestern University; Thomas D. Cook, Northwestern University; Robert Haveman, University of Wisconsin; Henry M. Levin, Stanford University; and Peter H. Rossi, University of Massachusetts at Amherst. Katherine Lyall, Johns Hopkins University, serves as executive director of the Russell Sage Foundation Committee on Evaluation Research and Policy Analysis. The project will first assess the feasibility of a newsletter for disseminating evaluation critiques. It is hoped that early review of completed reports, selective choices of evaluation topics, and quality critiques will make the newsletter an important effort in providing wider dissemination of useful research and in promoting higher research standards.

Evaluation critiques

A number of preliminary steps have already been taken: (1) project staff members have met with federal officials to discuss the concept of evaluation critiques, the need for close cooperation, and the desirability of establishing regular channels for receipt of major evaluations commissioned by various federal agencies; (2) alternative ways of producing the newsletter are being investigated; and (3) a project advisory committee has been organized.

Assessing Organizational Performance

The new program on the assessment of organizational performance has evolved directly from the Foundation's prior work in evaluation research. For many years, the Foundation sponsored evaluative efforts on the impact of large-scale social action programs. Now attention is shifting to the assessment of organizational performance focusing on the application of social science research perspectives and methods for the evaluation of how public and quasi-public organizations deliver services, including fire, police, sanitation, welfare, transportation, and telephone services. The Foundation is aware, however, that there are problems inherent in assessing organizational performance. First of all, there is the difficulty of designating goals and outcomes of some services. Developing straightforward measures of service delivery which are usable by a number of concerned constituencies also poses

complex problems. Therefore, the first proposals funded in this area are methodological studies of possible techniques for assessing organizational performance.

As with earlier evaluation studies, the Foundation will support both topical and methodological research in this area. The Foundation plans to develop its program of research on organization assessment by supporting comparative methodological studies and efforts at methodological innovations; by supporting studies of additional service areas which employ the techniques and approaches now being developed; and by a concerted effort to improve the state of the art in the field.

Measuring public services

Last year the Foundation supported a pilot study for the development of techniques for the measurement of public services to be conducted by Peter H. Rossi, University of Massachusetts at Amherst. To date, Professor Rossi and his associates have completed a review of the literature and have settled on the following five public services to study in greater detail: police, fire protection, welfare, employment security, and housing. They plan to develop measures of these services by relying on existing records and record archives of delivery organizations and by testing the measures in small sample cities in Massachusetts, both for their sensitivity to differences among cities and their relationship to citizen satisfaction. Field work has already begun to check the records of agencies, to interview agency personnel, and to observe the actual delivery of services. Telephone interviews are planned to survey citizen satisfaction with the delivery of these services.

As a companion to Professor Rossi's project, this year the Foundation funded a study monitoring the performance of public and quasi-public service organizations under the direction of Stanley M. Altman, Institute for Public Services Performance. Professor Altman plans to develop measures for telephone service, public assistance, and fire protection. Together these two projects will permit identification of common problems which are independent of city size, as well as problems unique to a given locality and service organization.

Professor Altman will conduct a series of case

Performance monitoring

studies, encompassing the five boroughs of New York City, which first will lead to the design of performance monitoring systems, and second, to the conduct of pilot projects where periodic reports based on monitoring experiments will be developed and tested for usefulness. In the first phase of the project, Professor Altman will classify the service and will try to determine the organization's goals and objectives, the information it usually collects, and the standards used for interpreting the data. He will then trace the flow of activities in each service for measurement, collection, processing, and dissemination. In the second phase of the project, Professor Altman will study objectives of each organization, and the type and amount of additional research required to develop feasible and useful measurement instruments and collection techniques as part of the design of performance monitoring systems. In the final phase, he will conduct a pilot project to test the feasibility of performance monitoring systems developed in the second phase.

"Project Scorecard"

"Project Scorecard," the first of the methodological projects, is designed to monitor New York City's sanitation services. An ongoing project for the Fund for the City of New York and the New York City Department of Sanitation, it is the City's most advanced application of a performance measurement system. It allows the evaluation of the organization of sanitation service delivery and a systematic comparison at the agency level. Its design is simple: ten two-person teams rate cleanliness using predetermined photographic standards. Comparisons are then made of the same streets and sidewalks over time and in different areas of the City. This year the Foundation provided funds for an assessment of the validity and reliability of the "Scorecard" technique and for a reassessment of the sampling design in light of long-term use of the "Scorecard" approach.

Under the direction of Phillip R. Shaver, New York University, questions related to the major issues of validity and reliability will be studied and alternative measures and their costs will be investigated. These include photometric techniques, counting and weighing techniques, telephone surveys, and training residents to submit reports. The problem of what causes littering also will be studied and an effort will be made to

determine if awareness of performance monitoring affects the cleaning effort. On the basis of this research, changes in the "Project Scorecard" procedures will be made as necessary.

Street-level bureaucracies

The second year of a three-year project on the politics of street-level bureaucracy has been completed. It is directed by Michael Lipsky, Center for Urban Studies of the Massachusetts Institute of Technology and Harvard University. Street-level bureaucrats are defined as public employees who interact directly with citizens in the regular course of their jobs, whose work permits them wide latitude in job performance, and whose impact on the lives of citizens is extensive. This definition and the analysis which follows from it directs attention to the comparability of the work of teachers, welfare workers, policemen, and many other public service employees.

The primary objective of the project is to achieve a better understanding of the interactions between public service workers and their clients, particularly of the ways in which the stresses of their work situations affect workers' actions. Analysis of street-level bureaucracy draws extensively on three sub-projects: (1) the phenomenon of slotting, the practice of dividing clients into categories so as to make the work of bureaucrats easier to manage; (2) the "interaction efforts" of street-level bureaucrats' encounters with clients, focusing on neighborhood legal services; and (3) the reactions of public school personnel in three Boston suburbs to a Massachusetts law establishing complicated requirements for both assessing and providing the special education needs of children.

Impact of EDC programs

A draft of a manuscript assessing the impact of the Economic Development Council (EDC) on New York City is nearing completion. EDC is an association of large employers in New York City which attempts to bring the management expertise of the business community to bear on the City's problems. Prepared by David Rogers, New York University, the manuscript has three sections. The first places EDC's urban management program in a broader context, relating it to the wide variety of strategies that have been endorsed or tried to improve the management of municipal agencies, and indicating how social writings on formal organizations provide a perspective for

assessing the program. A second section includes three case studies of EDC efforts: in the criminal courts; in three New York City high schools; and in the office of the Board of Education. This is followed by an analysis of EDC's relations with its member corporations as they reflect its capacity to increase big business' involvement in the program and in related attempts to reverse the City's economic decline. A final section discusses the implications of the study for changing public sector organizations and for suggesting the extent to which administrative structures and procedures appropriate for business are also suitable for government. Particular characteristics of New York City, its politics, financial problems, and governmental structures are highlighted as they bear on the relevance of the management transfer strategy for other cities.

Occupational organization among professionals

During the year, work continued on a study of occupational organization among professionals, a comparative study of teachers, engineers, and social workers in New York City, being conducted by George R. Vickers, Brooklyn College. During the past decade there has been a sharp increase in membership in white-collar and professional unions, although unions have been more successful in some professions than in others. The three chosen for study exemplify the newer professions, which by comparison with older professions such as law and medicine, are low in autonomy and control. The two major sources of data for the project are structured interviews with principal officers of professional union organizations, and analysis of organizational records. One article comparing the historically changing demographic characteristics of social workers and teachers in New York City with respect to types of employee organizations is nearing completion. Other articles that examine in detail the organizational histories of employee organizations in these professions are planned.

Environmental regulation

The investigation initiated in 1972 of the San Francisco Bay Conservation and Development Commission continues. This study by Maxwell E. Foster, University of California at Berkeley, focuses on the regulatory activities of the agency, including the strategies of regulation the agency has devised to cope with the problems created for it by limitations of resources and by external constraints. Also being

examined are the roles played by the agency's major constituencies—the interests seeking to develop Bay lands and the opposing citizens' groups concerned with preservation of the Bay; and the agency's exercise of its discretionary powers, particularly in negotiations with applicants for permits over the terms under which developments will be permitted. The bulk of the field work has been completed and a draft manuscript is in preparation.

Standardized testing in Ireland

A longitudinal study of the consequences of introducing standardized ability tests in the Republic of Ireland is being conducted by Peter W. Airasian and George Madaus, both of Boston College, and Thomas Kellaghan, St. Patrick's College in Dublin. The project, now in its second year, is jointly funded by Russell Sage Foundation, Spencer Foundation, Carnegie Corporation of New York, and the National Institute of Education. The logistical problems which hampered the first year of the study were reduced this year and the initial random sample of 225 schools remained virtually intact. Activities this year focused on gathering background information from teachers and students. Field workers have visited each sample school to obtain information about the testing program and its general impact upon teachers and instruction. Samples of teachers have been selected for additional in-depth interviewing concerning their attitudes toward tests and their use of test results. Data from the first two years are being merged and analyses concerning effects of testing in the various treatment groups are being conducted.

Law and Social Science

Russell Sage Foundation has actively supported a research and training program in law and social science since the early 1960s. The program has two interrelated goals. The first is to produce social science research on law and legal institutions that will provide increased understanding of the functioning of law in society. This aim includes an interest in both the immediate application of social science research to the resolution of legal problems and the more general and long term contribution which the social sciences may offer to the study of legal processes and the formation of future social policy. The second purpose is to provide training for scholars who will be doing research and teaching in law and social science.

Program review

Because the law and social science program has been in operation for so many years, the Foundation believes it is time to assess its efforts. Therefore, this year an external review was begun of the law and social science program. A review committee of four distinguished persons—two with a background primarily in law and two in social sciences—is currently studying the various projects supported by the Foundation in the area of law and social science, and will make a report to the Foundation next year. The committee is composed of Murray Schwartz, University of California at Los Angeles and former dean of the UCLA Law School, Chairman; Neil J. Smelser, University of California at Berkeley, James Q. Wilson, Harvard University, and Judge Marvin Frankel, United States District Court in New York. The committee's findings and recommendations will help guide the Foundation's future work in law and social science.

Although city bar associations, especially in large cities, allegedly exert influence on the legal profession, there have been few in-depth studies of the structure and functioning of such associations. This year the

Chicago Bar Association

Foundation funded a detailed study of the Chicago Bar Association (CBA) to be conducted by John P. Heinz, Northwestern University, and Edward O. Laumann, University of Chicago. The study was initiated by the CBA to investigate charges of elitism and conservatism from several of its younger members, and to determine how people decided whether or not to participate in the CBA.

The research is to be divided into three parts. First there will be interviews with a representative sample of 750 practicing attorneys in Chicago, of whom approximately 70 percent are members of the CBA. The interviews will focus among other things on the reasons for joining or failing to join the CBA and on its role in the development of legal careers. The second part of the analysis will be based on detailed interviews with elite attorneys—those who have had major responsibility for operations of the CBA. Third, the investigators will draw upon the historical record of CBA activities, both published and unpublished materials. It is expected that the detailed analysis of the CBA which will emerge will provide a specific study of the organization and functioning of the major professional body that shapes, defines, and regulates legal activity at the local level.

Reactions to the legal profession

Researchers at the American Bar Foundation, with the assistance of the National Opinion Research Center, have carried out a national survey for the purpose of obtaining heretofore unavailable information about the kinds of personal, non-business legal problems encountered by the general public; the ways in which these problems are handled; and the extent to which lawyers' services or other resources are used in resolving these problems. The Bar Foundation received funding for the survey from other sources, but Russell Sage Foundation support is being used for a full-scale, in-depth analysis of the data.

The analysis, under the supervision of Barbara A. Curran, American Bar Foundation, explores patterns of problem incidence and examines varieties of problem solving styles. Particular emphasis is placed on relationships between use of lawyers' services to solve problems and the public's perceptions about the nature of lawyers' work, accessibility, availability,

quality and costs of legal service, as well as general attitudes of the public about the law, courts, and the legal profession.

Legal problems and legal services

When funding was provided to the American Bar Foundation, Russell Sage Foundation reserved the right to commission an independent analysis of the same body of data. Austin D. Sarat, Amherst College, will use the data to focus on two major questions: how individuals translate human problems into legal ones and how they arrive at the decision to contact a lawyer. The results of this study are expected to contribute directly to a better understanding of the attitudes of the public toward the law and lawyers, and to the lawyer-client relationship.

Law and psychology source book

A new project funded this year will allow the preparation of a source book in law and psychology. Wallace D. Loh, University of Washington, and Neil J. Vidmar, University of Western Ontario, will collect major writings in the areas where law and psychology intersect, and thereby will provide a basis for the teaching of interdisciplinary courses to advanced students both in psychology departments and law schools. The idea for this source book has grown out of the Foundation's law and social science program, and it is hoped that such a volume will stimulate further interest in interdisciplinary studies.

A new book: The Legal System

One of the first synthesizing books in the law and social science area was published by the Foundation in 1975. The book, *The Legal System: A Social Science Perspective*, by Lawrence Friedman, Stanford University Law School, reviews some of the major findings and ideas that have emerged in recent decades. Included in Professor Friedman's review is an analysis of the legal system as a system, an examination of the impact and effectiveness of legal actions, a review of the origin of law and of specific laws, and an examination of legal culture as it manifests itself both in the legal profession and in that broad variety of organizations and institutions that constitute the legal system. The book provides both an introduction and focus for the field, as well as an important set of ideas to be examined and perhaps modified by further investigation and research. The ten chapters which comprise the book are:

Contents

The Legal System
On Legal Acts
On Legal Impact
When is Law Effective?—Part I
When is Law Effective?—Part II
On the Origin of Law and Laws
Law, Power, and Social Structure
On Legal Culture
On Internal Legal Culture
Social Change and Legal Change.

Attitudes toward the death penalty

An investigation of the public's views concerning capital punishment was continued this year by Lee Ross, Stanford University, Phoebe Ellsworth, Yale University, and Anthony Amsterdam, Stanford University. A questionnaire was administered to 500 adults from four municipalities in the San Francisco Bay area. The data have been analyzed and a comprehensive report is now in preparation. The report will show among other things how the public feels about a mandatory as distinct from a discretionary death penalty statute, and which segments of the public are most opposed to or supportive of the use of the death penalty.

Other findings include an overwhelmingly strong relationship between support for capital punishment and beliefs concerning its deterrent efficacy. Interestingly, a sizable majority of death penalty opponents indicated they would not change their views even if deterrence was proved. Further analysis and follow-up research is planned by the investigators.

Productivity of courts

An analysis of dispositions in Federal District Courts is progressing under the direction of Wolf V. Heydebrand, New York University. Data files on ninety district courts have been compiled for three time points: 1950, 1960, and 1970. The data range from economic and demographic characteristics of the respective jurisdictions and from the case-load and task complexity of thes trial courts to their organizational structure, resources, and disposition rates. The study will contribute policy recommendations for more efficient court administration as well as provide comparative organizational analyses. Preliminary findings have been presented at several regional and national conferences.

Economic concepts and crime

Work is nearing completion on the project jointly undertaken by Llad Phillips and Harold L. Votey, Jr., University of California at Santa Barbara. Models of the criminal justice system based upon economic concepts are growing in rigor and in their relevance to the problems of crime. Professors Phillips and Votey have nearly completed a manuscript which examines a number of crime problems using econometric analyses. In essence their work puts crime-related problems, such as the effect of unemployment on crime, the impact of gun availability on homicide, control of hard drug use, and existing correctional policies, into a cost-effectiveness framework where it is assumed that the goal is minimization of social costs. They have already submitted a number of papers to professional journals and their manuscript will be completed early in 1976. It will be submitted to the Foundation for review.

Voter behavior in NLRB elections

The most extensive study of union elections ever undertaken was completed this year. Jointly conducted by Julius Getman, Indiana University, and Steven B. Goldberg, Northwestern University, the study examines in detail how voters decide to vote in National Labor Relations Board (NLRB) elections, and particularly the extent to which they are constrained by the rules governing such elections. Their study will provide behavioral data bearing directly on the assumptions underlying the NLRB union election standards, and their results may be useful in revising the cumbersome procedures under which such elections are conducted. A manuscript based on their results has been completed and submitted to the Foundation for review.

Racially discriminatory boundary change practices

Racially discriminatory incorporation and boundary change practices have been the subject of a study now being completed by Donald G. Hagman, University of California at Los Angeles. Professor Hagman is finishing a manuscript based on his research that includes an incident survey of all known recent cases of the use of boundary lines to establish or maintain racial discrimination. Reports of seven on-site case studies are included. Major chapters deal separately with the use of boundary lines to discriminate against minorities in voting, education, housing, and services, and with the discriminatory aspects of

consolidation and federal remedies to prevent the use of boundary lines for such purposes. The manuscript, which includes policy recommendations for preventing such practices, is expected for Foundation review early in 1976.

Investigation of land grants

An investigation of Spanish-American land grants in northern New Mexico continues under the direction of Clark S. Knowlton, American West Center at the University of Utah. His research is expected to provide a detailed historical account of the land transactions between Mexicans and Americans during the settlement of the southwest. The legal and historical dimensions of the study will reveal facts about the social and economic conditions during the late nineteenth and early twentieth centuries and will illuminate some aspects of the impact of Anglo-American legal and economic systems upon the land holdings of the Spanish-speaking people of northern New Mexico. During the past year Professor Knowlton has finished work in government archives in Washington, D. C.; has secured a complete set of microfilm of the New Mexico Surveyor General's Office covering the period from the 1850s to the 1900s; and has examined various documentary collections, including that of one of the major land lawyers in New Mexico at the time. Interviews are in process with people living on land grants and with some of the leaders of organizations protesting loss of land. Research activities will soon be complete and Professor Knowlton expects to produce two publications, one on the land grants, and the other on the social and economic history of Mexican-American residents in the area.

Law and ethics in social science research

In 1974, German and American social scientists, lawyers, and others concerned with ethical and legal problems in social science research met at the University of Bielefeld, Germany, for a Conference on Research in Conflict with Law and Ethics. The American co-director of the Conference, Paul Nejelski, Institute of Judicial Administration, New York University, received Foundation support to translate the German papers into English, to edit the papers, and to prepare a summary of the Conference proceedings. This year, Professor Nejelski completed work on the manuscript and submitted it for review by the Foundation. The manuscript includes papers on the scholarly use of

classified government documents, comparison of the newsman's privilege and the researcher's privilege, statistical methods for assuring confidentiality in social research, and policy implementation by the United States Public Health Service on the ethics of human experimentation.

Scandinavian prison systems

Work is nearing completion on a study of Scandinavian prisons being conducted by Stanton Wheeler, Yale Law School and Russell Sage Foundation, and Hugh F. Cline, Russell Sage Foundation. Their report describes the reaction of inmates in fifteen Scandinavian prisons to the various prison regimes experienced. They found the prisons exhibit a wide range of correctional design and philosophy, from old custodial institutions derived from nineteenth century American models to the most modern of institutions built in the mid-twentieth century. The report traces the effects of the social structure of the prisons, the response of inmates to them, and individual variations in reaction to the prison regimes.

University-Based Training Programs

Stanford University Law School

During the third year of the Law and Psychology Program at Stanford University Law School, major emphasis was given to implementing research opportunities. Two research seminars were organized. One was an informal seminar made up of students in the joint program, other interested psychology and law students, and faculty and postdoctoral students. The informal seminar covered a spectrum of issues and was by design a spontaneous forum for new ideas and progress reports on current research.

The Research Seminar in Psychology and Law, which was organized a year ago, continued to survey a variety of issues in a more formal way. It also served as the setting from which formal investigations were launched. During the past year such investigations included the effects of available penalties on the interpretation of evidence and evidenciary rules; Bayesian approaches to evidence; legal reactions to stigmatized persons; mathematical approaches to assessment of evidence; and a variety of issues in jury selection and decision-making.

Two postdoctoral Fellows participated actively in the program. Jack Zusman, State University of New

York at Buffalo, spent a year in residence and contributed to discussions of psychiatric issues in the research seminar. He also completed several manuscripts on psychiatry and law during his year in residence. Craig Haney, a Russell Sage resident at Stanford, continued to explore the psychological impacts of structured and punitive environments as well as a variety of other issues germane to social psychology and law.

The program has continued to attract more potential graduate and postdoctoral students than it can support. An attempt is being made to increase the program's vigor and depth, as well as its capacity, through the addition of another faculty member who will be associated both with the Law School and the Psychology Department.

Yale Law School

The Russell Sage Program at Yale Law School concluded its seventh and final year in June 1975. Under the direction of Stanton Wheeler, the program has provided training for twenty-five Fellows who were associated with the program for a year or more. Of the twenty-five, eight either entered or left the program with joint degrees—five in law and sociology, and one each in law and political science, law and anthropology, and law and psychology. Eight of the seventeen single degree holders were sociologists, with four from political science, two from psychology, and one each from history, social psychology, and anthropology.

During the past year, four Fellows were in residence. Charles McCurdy, a Ph.D. candidate in history at the University of California at San Diego, completed his second year in the program. During his residence he authored three publications centering on the development of land law. He left the program to become an assistant professor of history at the University of Virginia, where he is working on the interaction between legal and economic processes in the initial stages of industrialization.

Theodore Becker, who came to the Yale program after completing a law degree and most requirements for the Ph.D. in sociology at Northwestern University, has returned to Chicago, where he is doing field work on the organization of criminal activity. Among his activities at Yale, he joined with Professor Wheeler in offering a series of lectures on social research for

lawyers to some forty law students. The lectures were designed to familiarize the students with the social science research methods they are most likely to encounter in litigation or in the legislative process.

Jack Katz, a Ph.D. candidate in sociology at Northwestern University, who holds a law degree from the University of Chicago, completed his second year as a Russell Sage Fellow. During his residence he published one article and nearly completed his dissertation which focuses on the careers of individuals and organizations devoted to poverty law. He has remained at Yale where he is pursuing work on the nature and significance of scandals in public life in the United States.

Andrew Cohn, a law degree candidate who holds a Ph.D. in anthropology from Harvard University, completed his third year at Yale. During his final year in the law school, he was the director of a law journal project on sentencing and parole which was published in the *Yale Law Journal*. He is currently clerking for a federal district judge in Boston.

Activities at Yale

In addition to the work of the Fellows, activities during the year included occasional study groups or seminars involving other members of the Yale Law School community, and continuation of work on a major study of state Supreme Courts. The study, sponsored by the National Science Foundation, is designed to provide systematic data on the nature of the litigants and the legal problems that were handled by state Supreme Courts in the United States during the century from 1870 to 1970. The work is under the joint direction of Stanton Wheeler, Yale Law School and Russell Sage Foundation; Lawrence Friedman, Stanford Law School; and two former Russell Sage Foundation Fellows, Bliss Cartwright, currently assistant professor in the Department of Sociology at the State University of New York at Buffalo, and Robert Kagan, assistant professor of political science at the University of California at Berkeley.

The Yale program hopes to continue its association with Russell Sage Foundation by providing space and other resources for recipients of Russell Sage residency awards who choose to spend their residencies at Yale Law School. Two persons are doing so during the 1975–76 academic year: Ronnie Steinberg Ratner,

who is completing a Ph.D. in sociology at New York University, and A. Mitchell Polinsky, who is at Yale on leave from an appointment in economics and law at Harvard University.

The Residency Program

Lawyers and social scientists continue to find the residency program of great interest as they search for new concepts and methods of studying and examining legal processes and legal institutions. This program is designed to offer advanced training and substantial intellectual resources to scholars interested in the cross-disciplinary field of law and social science.

Eligibility

Applicants are eligible for consideration as candidates in the residency program if they have either received a law degree or have completed all requirements for the law degree, or if they either have received a doctorate or have completed all but the writing of their doctoral dissertation in the disciplines of anthropology, history (a behavioral orientation), political science, psychology, or sociology. Records that certify superior ability and evidence of a major interest in the applications of social science in the field of law are also important requisites for residencies.

Completed residencies

Three residents completed a year's study in the program during the 1974–75 academic year, and will continue their residencies for a second year: George B. Curtis, Ph.D., History, University of Virginia, will continue his residency at the University of Chicago Law School where he is working on the J.D. degree. Craig W. Haney, Ph.D. candidate, Psychology, Stanford University, expects to receive the degree during his second year of residency at Stanford Law School. Michael S. Schudson, Ph.D. candidate, Sociology, Harvard University, is spending a second year of residency at Harvard University and Harvard Law School.

Two residents completed two-year residencies during 1975: Joseph L. Jacobson, J.D., Harvard Law School, and Ph.D. candidate, Social Psychology, Harvard University, spent the past two years' residency at Harvard University. He is continuing to study psychology and social relations at Harvard University. Jamil S. Zainaldin, Ph.D. candidate, History, University of Chicago, completed two years of

residency in the Department of History and the Law School, University of Chicago. He continues his studies at the University of Chicago.

Two other students completed a one-year residency during the past year: Marguerite Johnston Arno, Ph.D. candidate, Anthropology, University of Pennsylvania, spent a year's residency at the University of Pennsylvania Law School. She is currently studying at Rutgers University School of Law. Thomas M. Kiefer, Ph.D., Anthropology, Indiana University, completed a year's residency at Harvard Law School. He is currently on the faculty of the Department of Anthropology, Harvard University.

New residents

Seven new residents were appointed during the past year: James A. Beha, II, J.D., Harvard Law School, and Ph.D. candidate, Sociology, Harvard University, is continuing to study at Harvard University. Thomas Y. Davies, J.D., Northwestern University School of Law, and Ph.D. candidate, Political Science, Northwestern University, is studying at the Center for the Study of Law and Society, University of California at Berkeley. Andrew K. Dolan, J.D., Columbia University Law School, is spending a year's residency at Columbia University School of Public Health. Michael J. Lowy, Ph.D., Anthropology, University of California at Berkeley, is in residence at Stanford Law School. A. Mitchell Polinsky, Ph.D., Economics, Massachusetts Institute of Technology, is spending his residency at Yale Law School. Ronnie S. Ratner, Ph.D. candidate, Sociology, New York University, is also studying this year at Yale Law School. And, Otis H. Stephens, Ph.D., Political Science, Johns Hopkins University, is in residence at Harvard Law School.

Civil Liberties and Social Control

One of the new program areas to which the Foundation will be devoting major attention in the future is civil liberties and social control. The Foundation believes the importance of civil liberties as a research area cannot be overemphasized. Many problems involving the balance between freedom and control have become increasingly complicated. Recent revelations about wiretapping and other invasions of privacy by government agencies, increases in public disorder, the expansion of due process for defendants, and changes in the rights of women, minorities, children, prisoners, and others in previously "subordinate" roles have brought civil liberties questions into central focus.

Importance as research area

The importance of civil liberties as a research area is further heightened by shifts in attitudes toward patriotism, treason, the prerogatives of national defense, and the new forms of political participation and protest (e.g., mass demonstrations and civil disobedience). Shifts have also occurred in both official and public attitudes toward individual rights in matters of personal conduct (e.g., life styles, sexual conduct, manners, pornography, obscenity, and other "crimes without victims").

These and related developments have increased concern about the nature and sources of tolerance and intolerance toward individual freedom and privacy. In some cases they have provoked counterforces toward repression; in others they have intensified controversy about freedom and control by enlarging the rights of some groups at the expense of others.

Greater understanding of these phenomena is obviously essential to free society, but systematic knowledge is presently very limited. In the area of attitude research, for example, the definition of civil liberties employed by most investigators has been narrowly restricted in both substance and methods. Most researchers have confined themselves to questions

about the boundaries of free speech, but the domain of civil liberties extends beyond these to include, for example, questions about due process of law, conformity, intellectual orthodoxy, privacy, academic freedom, choice of life style, and unconventionality in the forms of political participation and dissent. Little is known about the relation between beliefs about freedom and control and actual conduct, the public's understanding of civil liberties issues, the frequency with which rights of individual freedom are violated, and the conditions under which individual rights are most or least likely to be honored. The Foundation's program in civil liberties and social control will fund projects in these and other areas with the goal of providing new knowledge on which to base public policy.

Long-range development

In order to launch the new program area of civil liberties and social control, an umbrella project was funded this year by the Foundation. To be conducted under the supervision of Herbert McClosky, University of California at Berkeley and Russell Sage Foundation, the project is expected to contribute to the long-range development of the program as well as to specific research tasks. The project will aim, through field work, to probe systematically and in-depth the attitudes, actions, motivations, and events that compose the general domain of civil liberties and social control.

To put the field in order, identify gaps in information, and ascertain the status of existing research knowledge, a "propositional inventory" of published and unpublished findings will be prepared. It will not be the usual "review of the literature," but rather a systematic listing of propositions organized by topic, with an indication of how firmly and frequently each finding has been verified, and what qualifications appear to be warranted. The inventory will be supplemented by a collection of unpublished data on civil liberties gathered from available systematic studies. Data from research currently in progress will also be examined.

Goals

A major goal of the new research is to construct and make available to other investigators a set of civil liberties measures that overcome the difficulties present in measures now available. Most civil liberties issues are so beset by honorific and pejorative

sentiments and by the common tendency to oversimplify them that new measures are needed to capture their intricacies and complexity.

New data

Collection of new data in this research will be aimed partly at the goal of scale-building and the testing of measures, and partly at the goal of producing new data to test hypotheses, uncover motivations, and assess the relation of particular beliefs about civil liberties to larger belief systems and philosophical perspectives. The research will also examine the consistency between what respondents *say* about civil liberties, and how they *act*. The combination of data collection and the testing of new measures—particularly in areas of great controversy—will provide a rich set of new data and will furnish an opportunity to estimate the influence of contexts and institutions on beliefs and actions relating to freedom and control.

It is expected that a book and a number of articles will evolve from this first project. Equally important it will provide one of the bases on which the Foundation's program on civil liberties and social control can be built.

Increasing the Use of Social Science Research

Russell Sage Foundation has a thirty-year history of sponsoring distinguished social science research. In 1946, the Foundation turned its attention to supporting social science research with the rationale that in the long run a greater contribution could be made toward realizing Margaret Olivia Sage's charge for ". . . the improvement of social and living conditions in the United States" by supporting research that produced new knowledge about social problems rather than by supporting actions designed to alleviate the immediate consequences of those problems.

Over the years the results of many Foundation-sponsored projects had an impact on the policymaking process, but the Foundation is concerned with the problems that still exist in effectively transmitting the results of its own as well as other social science research to the policymakers who generate social action. In the newly formed program area on increasing the use of social science research, the Foundation hopes to sponsor projects designed to overcome some of these problems. The projects will focus on three areas: studies on why social science research is not better utilized by policymakers; investigations of how such research might be conducted to meet the specific needs of policymakers; and follow-up studies on methods of distribution currently employed with the expectation of experimenting with and developing new methods of dissemination. In this way, the Foundation plans to continue to refine its concept of the relationship between social science research and social policy formulation.

Focus of research

Without effective dissemination nearly all of the research being done in the social sciences will remain buried. For example, in the past many more studies in the field of public policy have been completed than have actually been used or even seen by relevant decision-makers. It is the Foundation's belief that by

making well-written summaries of studies available to analysts in different agencies and at different levels of government, people working on the same or similar policy problems would have the opportunity to utilize work already done and to perform comparative analysis.

Dissemination of policy studies

Therefore the Foundation this year funded a three-year experimental project designed to seek out studies which have been carried out by policy analysts in agencies and to select some of the most promising for dissemination to wider audiences. Before dissemination they will be edited and brief summaries will be prepared in a form which can be utilized by decision-makers at various levels of government, by researchers working on similar problems in other agencies, and by faculty members involved in training students in policy analysis.

The work will be carried out at the Graduate School of Public Policy, University of California at Berkeley, under the supervision of Allan P. Sindler. Three major activities will be involved in the experiment: locating studies for the project; editing and preparing summaries of the studies; and designing a system for disseminating the studies to potential users. The final report is expected to contain an evaluation of the effectiveness of this type of dissemination; to recommend whether or not it should be continued; and, if so, to suggest ways of instituting such dissemination on a regular basis.

Increasing the use of social science research

Last year, a pilot project was funded in increasing the use of social science research by investigating the dissemination of the findings of a social science research report previously prepared by the Rand Corporation on the delivery of services to handicapped children. During the year the project directors, Shelley Marshall, Russell Sage Foundation, and Garry D. Brewer, Yale University and Russell Sage Foundation, have concentrated on following and tracking the prior report to see how it is being used and how it might be made more useful.

Additional funding was made available this year to assess the role a film might play in increasing the report's use. Pre-production activity was initiated on a documentary film to be used on television and by public and private agencies, concerned parents, and other groups who serve handicapped children.

Documentary filming in several locations is completed and editorial work is underway. It is believed that such a film will both supplement and reinforce the research findings contained in the basic report by making them more understandable, visible, and available to a wider audience. In addition, a questionnaire study has been designed to sample from the more than 2,000 recipients of the report. The questionnaire is intended to assess the amount, kind, and impacts of social science research; to help determine ways to improve the general use of research results; and to help judge the impact of other types of social science research.

Government receptivity to social science

The second phase of a project designed to assess government receptivity to social science was funded this year. Under the direction of Arnold Shore, Russell Sage Foundation, the project was initially conceived as an assessment of the impact of social science research on social policy. However, the first year's work—including an extensive review of the literature in sociology, political science, and the policy sciences dealing with the relationship between government and science—resulted in a specific research design which begins at the point of government receptivity to social science.

Starting from an historical point of view, and having isolated several key explanatory possibilities (including legislative-executive correspondence, establishment of special bureaucracies, and the decisive place of programs in political interaction), the research will be focused on two policy areas over time—from the administration of Franklin D. Roosevelt to the administration of Richard M. Nixon. Personal interviews with key figures from several of these administrations will be conducted to supplement and help interpret information dealing with specific policy decisions and specific social science findings collected from archival sources.

A manuscript which traces the course of twentieth century applied social science and the philosophical currents which influenced that course is in preparation and includes a revised agenda for research which evolves from closer attention to the predominant role of government in determining receptivity to, and hence, use of social science in social policy. Completion of the manuscript is expected early in 1976.

Simulation modeling in policy research

During the past decade public officials have turned to simulation models for guidance in meeting a wide and growing range of public issues—from world population, energy and environmental problems, to national economic policy, to the delivery of municipal services. A study of the use of models in policy research, directed by Martin Greenberger, Johns Hopkins University, has been completed. The investigation has surveyed the nine modeling methodologies most prominently used in policy research, and attempts to identify the important differences among these methodologies—differences in kinds of policy problems with which they are suited to deal, and differences in the ways their users approach the same problems. In order to find out how models actually affect the making of policy, the political and administrative careers of several policy models have been closely examined and an attempt has been made to assess their impact on public policy. The findings of this investigation suggest that although government officials frequently turn to modeling as an aid in the design and testing of public policy, modeling results rarely play a direct role in the making of public policy decisions. The study attempts to identify the political and organizational conditions that create not only a demand for policy modeling, but a likelihood that modeling results will actually be put to use in making more enlightened policy decisions. A manuscript resulting from this study has been completed and will be published by the Foundation in 1976.

A new book: TV Violence and the Child

The results of an earlier study involving a governmental investigation and the input of social science was published this year by the Foundation. *TV Violence and the Child: The Evolution and Fate of the Surgeon General's Report* by Douglass Cater, Aspen Program for Communication and Society, and Stephen Strickland, University of California at San Francisco and Georgetown University School of Medicine, examines the controversial inquiry into the effects of television violence on children. The authors explore the history of the inquiry which was initiated by Senator John Pastore, the responses of government agencies and academic researchers, and the communication of the Committee's findings to the television industry and its response. They conclude

that government institutions are not equipped for recruiting expert talent, providing clear research guidance, or carrying out recommendations in controversial areas of concern. The contents of the book include:

Contents

Introduction
Origins of Concern
The Surgeon General's Advisory Committee
What the Researchers Found: In the Lab
What the Researchers Found: In the Field
What the Researchers Found: In the Industry and On the Air
Reaching a Judgment
The Report Goes Public
New Hearings, New Consensus?
The Onslaught of the Critics
The Government's Hesitant Response
The Industry's Response
Postscript, 1974
Conclusion.

Uses of photography in social research

A vital aspect of improving the communication of social science research is the development of new techniques and methods to gather and comprehend social data. Howard S. Becker, Northwestern University, is conducting a study of the uses of photography in various kinds of social explorations. He considers the ways in which photography makes social commentary, the overlap between the work of some professional photographers and sociologists, the relationship of theory in photography to sociological theory, and the relationship of the "methodology" of social photography to sociologists' methodological concerns. Professor Becker has published one paper and is continuing to teach photographic sociology and experiment with its use. His experiences and research will provide the basis for a monograph.

Race, Gender, and Ethnicity

During the past few years, the Foundation has funded a number of projects to study various aspects of the social lives and problems of Blacks, women, and members of ethnic groups. In order to increase and coordinate the Foundation's efforts in this direction, a new program area encompassing these studies has been formulated. In developing this area, the Foundation staff will systematically encourage the exchange of ideas across studies of race, gender, and ethnicity on the grounds that they are all ascribed social statuses of long and not entirely dissimilar histories and correlates. It is expected that research complementarities that match these empirical similarities may yield special dividends of information and policy guidance.

Replication study of Black professionals

Work is continuing on a survey of Black male professionals being conducted by G. Franklin Edwards, Howard University. Findings of the survey, a replication of a study he conducted in 1950, are now being assessed and assembled. Among his findings, Professor Edwards reports that while most Black professionals continue to have their social origins in the white collar group, Blacks who have entered the professions since World War II have much broader social origins than those studied in 1950. Each of the professions studied showed some marked divergences from patterns observed earlier: for example, a high degree of specialization among Black physicians; a shift from private practice to institutional work for a larger proportion of Black physicians; wider recruitment of teachers among Blacks; and a significantly increased number of Black lawyers who are members of the federal or local judiciary. Interpretation of these and other findings is of current concern and a complete report is expected soon.

Racial stereotypes

One of the most persistent racial stereotypes in the popular culture has been the image of "Sambo": the indolent, optimistic, obedient, superstitious,

irresponsible Black male. Joseph Boskin, Boston University, received support this year to complete his study tracing the origin, development, and institutionalization of this stereotype in the popular culture and mass media from the seventeenth century to the present. Professor Boskin believes the issues raised by the "Sambo" image—why it originated, how it was transmitted from one generation and immigrant group to another, whether or not slavery conditioned the African personality, whether Blacks "put-on" whites by assuming the role, and why this stereotype ceased to function in the mass media of the 1960s—are primary to the development of racism in the culture of the United States. Although essentially historical in scope, the study is a sociopsychological examination which focuses on the role of humor in racism. A manuscript from this project is expected to be completed early next year.

Black elected officials

Three projects which consider the changing role of minority groups in a political context have been completed or are nearing completion. *Black Elected Officials: A Study of Black Americans Holding Governmental Office*, a manuscript by James E. Conyers, Indiana State University, and Walter L. Wallace, Princeton University and Russell Sage Foundation, is currently in production and is scheduled for publication early in 1976. The study is based upon a nationwide mailed questionnaire of 799 Black men and women holding office at state, county, and city levels of government, in courts and law enforcement agencies, and on school boards and other public educational agencies, plus personal interviews with thirty-four officials, including six members of the United States House of Representatives. The analyses cover the political beliefs, motivations for seeking public office, and expectations these officials hold, in addition to their personal background characteristics and the characteristics of their districts and their sources of election help, partly in comparison with a sample of comparable white public officials.

Among the findings of the study were that Black and white officials differed sharply in their motivations for seeking elected office: Black officials give high priority to correcting social injustices and low priority to serving the country, while white officials give just

the reverse priorities. Many of the Black officials interviewed were pessimistic regarding the future. As the authors conclude, "the future that these Black officials foresaw seems reducible to the still unanswered question of whether political power wielded by Blacks and other minorities in the cities can grow quickly enough to catch and reverse the urban exodus of economic and political power, forestall any intensification of racist reaction, and thus reconstruct the cities and, hopefully, the nation as well."

Political participation of Blacks

A longitudinal study of Black political behavior in Mississippi is being brought to a conclusion by Paul L. Puryear and Douglas St. Angelo, Florida State University, and Edward L. Cole and Joseph J. Huttie, Jr., both formerly of the Evans for Governor Committee, and a draft manuscript is nearing completion. Recently analyzed findings have centered around the nature of Mississippi's Black political leadership, and Black and white attitudes toward and participation in the 1971 elections.

Data on Black political leaders were gathered by use of a questionnaire sent to one hundred Black leaders in Mississippi. The questionnaire, which went to a wide range of leaders, requested information on background, dealt with role development, and contained a series of psychological scales and probes to permit the classification of leaders by degrees of militancy. The findings fit earlier conclusions about leadership in general and Black leadership specifically: Mississippi Black political leaders had more education, income, and higher status occupations than the state's average Black citizen. However, the leaders did not register as much life satisfaction as Black citizens in general. Political cynicism of leaders was found to be high, but most Black leaders correctly perceived the positions of Black citizens on a number of political competence items, although when they erred it was in the direction of underestimating Black citizens. Four out of five Black leaders were male.

Tentative results of an investigation of the 1971 gubernatorial election indicated that the election continued the biracial nature of Mississippi politics. Black candidate Charles Evers had the support of more than 90 percent of Black voters and less than 1 percent of whites. Blacks did not turn out in as great

numbers as white voters, but continued their trend of increased voting.

Women in politics

A project on the role of women in national politics has now been completed, and the manuscript reporting the results has been accepted for publication by the Foundation. The study, undertaken by Jeane Kirkpatrick, Georgetown University; Warren Miller, University of Michigan; William J. Crotty, Northwestern University; and Elizabeth Douvan, University of Michigan, and jointly funded by Russell Sage Foundation and the Twentieth Century Fund, was based on interviews with 1,300 delegates to the 1972 Democratic and Republican national conventions and mail questionnaires from some 55 percent of the delegates. Much information has been collected and analyzed concerning the political backgrounds and experience, the attitudes and perceptions, and the orientations toward issues, candidates, and male-female roles of a large number of active political participants of both sexes.

The study suggests that new political types were present among the delegates to the 1972 Democratic convention, that they were characterized by motives, role conceptions, ideological styles, and patterns of participation different from those who have dominated national politics in recent decades, but these differences were no where near as great as media coverage of the conventions indicated at that time. There were also important differences between some segments of the

Differences found

Democratic elite and the party's rank-and-file supporters. The data indicate that both female and male delegates differed from rank-and-file voters in education and other characteristics of socioeconomic status and on the positions they took on most issues. Women voters split on the major issues in much the same way as men, even on those issues where there were good reasons for expecting differences. Among Democrats, women delegates were more liberal than their rank-and-file female counterparts on most issues, including crime, welfare, demonstrators, the military, and the police. The same differences between female rank-and-file and elite existed on issues of particular importance to women—the women's liberation movement, abortion, and whether a female head of family should have the same right to job

security as a male head of family. There was no special "woman's stand" on any issue in either party. At the mass level, Democratic women held views very similar to Democratic men. It is expected that the manuscript will be published before the 1976 Democratic and Republican national conventions are held next summer.

Women in the labor force

The role of women in the work force also is in a state of change. Additional funding was provided this year for the completion of a manuscript on the occupational status and problems of women in the labor force, and for replication of the current study for Blacks. The analysis of the work patterns of women now in progress by Valerie Kincade Oppenheimer, University of California at Los Angeles, is based on subsamples of the Public Use Samples of the 1960 and 1970 censuses. The 1970 Public Use Sample which was not available when the original project was funded will now permit a more meaningful analysis of Blacks.

In her replication of the study of whites, Professor Oppenheimer does not expect the Black women's experience to mirror the experience of whites. She does expect, however, to produce an unparalleled analysis of Black family and occupational cycles and their implications for wives' work involvement, and a detailed analysis of the joint socioeconomic characteristics of Black husbands and wives.

Professor Oppenheimer's manuscript on labor force participation and the occupational status of women will be delayed until data from the replication can be included. However, she has already completed several papers reporting on her findings in the original analysis. Among her findings Professor Oppenheimer points out that sociologists have largely ignored women in the determination of family socioeconomic status, and that social theories which postulate a rigid sex role segregation as a functional necessity for the proper working of the occupational system as well as for the maintenance of family solidarity do not fit the actual patterns prevalent in the United States. Her analysis shows that this pattern is found only among upper middle-class families. Among lower paid occupations of the husband, the wife's financial contribution adds considerably to total family income. Thus economic pressures, job market conditions, and a variety of

other economic factors explain the occupational distribution of women in different socioeconomic groups more accurately than functional imperatives of the occupational and family systems in general.

Problems of blue collar women

Continuing the focus on the role and problems of women at lower socioeconomic levels of society, Pamela Roby, University of California at Santa Cruz, is completing a study on the impact of social policies on working class employed women and their families. She is preparing an anthology on women in working class jobs and has submitted the draft for a Social Science Frontiers paper for the Foundation entitled, *The Conditions of Women in Blue Collar, Industrial, and Service Jobs.* Although between 1940 and 1974 the number of female blue collar workers (excluding private household workers) increased from 6.7 million to 13.2 million, social science researchers during this same period have not devoted a single book primarily to women in these occupations. Professor Roby describes the few current research projects which do focus upon women and blue collar jobs, and outlines an agenda for research needed to enable policymakers and social scientists to gain an understanding of how to meet the needs of these women and their families.

Since beginning this project, Professor Roby has written and presented papers on the topic, has participated in conferences, and has served as an informal advisor to both union and government officials on policies concerning women employed in working class jobs.

Changing sex roles

Changing sex roles is the present focus of a study of social trends being conducted by Otis Dudley Duncan and Beverly Duncan, University of Arizona. Their work, thus far, has developed such topics as work motives and the female role; work constraints and the female role; childrearing techniques and the sex of the child; sex-role definitions; socioeconomic correlates of sex typing and differential change; sex typing, age, and change; and women and children and work.

Professors Duncan and Duncan are investigating the possibility that changing sex role attitudes are bound up with various other ideological shifts that loosely can be characterized as having to do with an enhanced emphasis on individual autonomy, the growing

rejection of traditional authority, and an increasingly sophisticated and critical stance toward public affairs. Data are being compiled and analyzed, and it is expected that one or more monographs will result from this important study.

Marriage contracts

Changing gender roles have also affected the institution of marriage. Marvin Sussman, Case Western Reserve University, is continuing his research into the types of personal contracts between partners in marriage. During the year, attitudinal data were collected from 2,500 college students. These data which concern various provisions found in personal contracts and specifically obtain the respondents' perceptions of the need for such provisions in verbal and written contracts are currently being coded for analysis. In-depth telephone interviews are being conducted of some thirty couples who supplied copies of their contracts. Their responses to questions designed to determine how the contracts work and whether they have any impact on interpersonal relationships will form the basis for a collection of case studies.

A new book: Working Communally

In some instances changing roles has meant changing life styles. One alternative life style is communal living and working. David French and Elena French, Johnson State College, this year completed their study of communal economies, and the Foundation published their findings in a new book, *Working Communally: Patterns and Possibilities.* This work traces parallels between the communitarian movements of the last decade in the United States and the Owenite and Fourierist waves of the nineteenth century, finding in all these attempts a deeply rooted individualism which led to their failure. The conditions necessary for more durable economic work places are examined through study of a number of relatively successful groups. The implications of communal life and work for individual growth are explored, and the practical aspects of establishing communal work places in contemporary America are discussed. In particular, the manuscript examines problems of evaluating projects which communes may undertake, problems in the choice of technologies with which they approach projects, and the legal and economic frameworks within which communes can most easily exist.

Historical Studies of Social Policy

New program

It is the Foundation's belief that historical studies of social problems may lead to improvement in the formulation of contemporary social policy. It has therefore undertaken to explore the development of a program designed to produce such studies.

This year the Foundation held a conference on history and social policy to explore the potential for the program and to examine how it might help bring historical research into more immediate relevance for current social policy. The twelve persons attending the conference were Hugh F. Cline of Russell Sage Foundation; John Demos, Department of History, Brandeis University; Robert Fogelson, Department of Urban Planning, Massachusetts Institute of Technology; Lawrence M. Friedman, School of Law, Stanford University; Michael B. Katz, Department of History, York University; Charles E. Lindblom, Director of the Institution for Social and Policy Studies, Yale University; Peter H. Rossi, Department of Sociology, University of Massachusetts at Amherst; David J. Rothman, Department of History, Columbia University; Stephan A. Thernstrom, Department of History, Harvard University; Maris A. Vinovskis, Department of History, University of Michigan; Stanton Wheeler, Yale Law School and Russell Sage Foundation; and Aaron Wildavsky, Dean of the Graduate School of Public Policy, University of California at Berkeley.

Conference participants

An outgrowth of the conference was a project proposing the commissioning of a series of papers by historians that address a current social problem in historical perspective either by examining policy concerns or by directly examining past social policy dealing with a particular issue. The papers then would be collected in a book which would exemplify the potential contribution of history to social policy. This proposal was funded by the Foundation and will be carried out under the supervision of David J. Rothman,

Columbia University, and Stanton Wheeler, Yale Law School and Russell Sage Foundation.

Commentaries

It is planned that historians selected to write the papers will be those already familiar in detail with the history of the issue in question. Drafts of the papers will be read by policymakers as well as the other participating historians. Commentaries by the policymakers who currently face choices in the areas addressed by the historians should provide a clear sense for the relevance of historical work to the policy problems they encounter. It is expected that the book will generate further work and will serve as the cornerstone of the Foundation's program on historical studies of social policy.

Philanthropy

In the past, Russell Sage Foundation has produced outstanding research in the area of philanthropy. The Foundation's concern with the study of philanthropic institutions was and is based in part on the belief that evaluation of funding policies is critical to the effective use of resources by philanthropic organizations. Although in recent years its support of projects in the area decreased, this past year the Foundation renewed its commitment to and interest in philanthropy by working on the development of a program area devoted to the study of philanthropy. It is expected that the program will include work on the problem of measuring the impact of funding policies and exploring the economic, legal, and sociological impacts of philanthropy and its development in the United States.

Concurrent with its interest in philanthropy, the Foundation is participating in the work of the Joint Committee on Research sponsored by the Council on Foundations and the Foundation Center. The purpose of this committee is to seek means to promote scholarly research on philanthropy and to stay abreast of current research in this area.

A new book: Altruism, Morality, and Economic Theory

Although no new projects were funded last year in the area of philanthropy, one new book was published. ***Altruism, Morality, and Economic Theory*** edited by Edmund S. Phelps, Columbia University, presents a collection of papers by economists theorizing on the roles of altruism and morality versus self-interest in the shaping of human behavior and institutions. The chapters are accompanied by commentaries from representatives of other disciplines including law and philosophy.

All but one of the papers in ***Altruism, Morality, and Economic Theory*** were first presented at a 1972 conference funded by Russell Sage Foundation. Included in the book are:

Contents

An Introduction by Professor Phelps
Gifts and Exchanges, Kenneth J. Arrow
Economics of Trust, Altruism, and Corporate Responsibility, Roland N. McKean
Business Responsibility and Economic Behavior, William J. Baumol
The Samaritan's Dilemma, James M. Buchanan
The Indeterminacy of Game-Equilibrium Growth in the Absence of an Ethic, Edmund S. Phelps and
A Mathematical Note, Wilfried M. A. Pauwels
Charity: Altruism or Cooperative Egoism? Peter Hammond
Private Philanthropy and Public Finance, William Vickrey
Toward a Theory of the Voluntary Non-Profit Sector in a Three-Sector Economy, Burton A. Weisbrod
Toward a Behavioral Theory of Philanthropic Activity, Bruce R. Bolnick
Comments by Guido Calabresi, Edward F. McClennen, Thomas Nagel, Amartya Sen, and Karl Shell.

Contents

Why Statistics?
On Population
On Births, Deaths, and Health
On Marriage, Divorce, and the Family
On Education
On the Labor Force
On Social Security and Welfare
On Delinquency and Crime
On Consumption and the Consumer
On Housing and Construction
On Metropolitan Transport and Land Use
On Outdoor Recreation
On Governments
On Elections
On Public Opinion Polls
On Social Indicators.

Social Indicator Models

Another project resulted this year in a publication: *Social Indicator Models* edited by Kenneth C. Land, University of Illinois at Urbana-Champaign, and Seymour Spilerman, University of Wisconsin. The volume contains fourteen contributed papers first presented at a conference on social indicator models held at Russell Sage Foundation in July 1972. The papers are grouped into two categories: those which present models for the analysis of indicators from replication studies; and those which present models appropriate for longitudinal and dynamic analyses. A diverse array of social indicators are used as application of the models. *Social Indicator Models* has a Foreword by Eleanor B. Sheldon, president of the Social Science Research Council, and the contributed articles include:

Contents

Social Indicator Models: An Overview, by Kenneth C. Land
Theoretical Domains and Measurement in Social Indicator Analysis, Arthur Stinchcomb and James C. Wendt
The Log Linear Analysis of Survey Replications, James A. Davis
Measuring Social Change via Replication of Surveys, Otis Dudley Duncan
Measuring Change in Attitudes Toward Women's Work, Beverly Duncan and Mark Evers
Women, Work, and Wages: Trends in the Female Occupational Structure Since 1940,

Developing the Social Sciences

Developing the capabilities of the social sciences to conduct research relevant to contemporary problems is of major concern to Russell Sage Foundation. The mix of both research and administrative activities of the staff provides a unique opportunity for the Foundation to develop the capacities of the social science disciplines to address the major social issues which confront society. Therefore, the Foundation has funded a wide range of programs and projects designed to further strengthen the potential for policy influence on the part of social scientists.

New books: Social Statistics in Use

Social Statistics in Use, by Philip M. Hauser, University of Chicago, was published this year by the Foundation. This volume is aimed at several audiences. Congressmen, legislators, and their staffs should find it useful for its presentation of concrete evidence that statistics can be used for important national, state, and local problem analysis. Teachers and students of the social sciences and applied policy fields should find specific chapters dealing with their areas of concern extremely helpful. The book is also aimed at the educated layman, and indicates the way in which statistics serve the public by focusing on a number of crucial topics. Professor Hauser discusses the historical development of some statistical methods, and then provides substantial and specific applications of these techniques in a number of topical areas. In addition to providing a non-technical introduction to the policy uses of social statistics, it is hoped that the publication will serve to reduce growing hostility toward census and survey operations, as well as the growing distrust of statistics and statisticians by the general public.

The book has a Foreword by Frederick Mosteller, Harvard University, and contains the following sixteen chapters:

Donald J. Treiman and Kermit Terrell
Age, Period, Cohort, and Education Effects on Earnings by Race—An Experiment with a Sequence of Cross-National Surveys, H. H. Winsborough
Design for a Replicate Study of Social Mobility in the United States, David L. Featherman and Robert M. Hauser
Transition and Admission Models in Social Indicator Analysis, Richard Stone
Models and Indicators of Organizational Growth, Changes, and Transformations, Judah Matras
Analysis of Occupational Mobility by Models of Occupational Flow, James S. Coleman
Growth in Occupational Achievement: Social Mobility or Investment in Human Capital, Aage B. Sorenson
Models Involving Social Indicators of Population and the Quality of Life, David D. McFarland
Forecasting Social Events, Seymour Spilerman.

Social science controversies and policy decisions

A study of social science controversies and public policy decisions directed by Charles Frankel, Columbia University, under the auspices of the American Academy of Arts and Sciences has found that the debate among social scientists about the reliability and utility of their disciplines in relation to contested policy issues remains persistent and serious, and that there is little or no consensus about the norms which should guide social scientists in commenting on public affairs or engaging in active political advocacy. The papers included in a manuscript which the Foundation will publish in 1976 indicate the reasons for the persistent debate and the lack of guidelines are deeply rooted in the history and methodologies of the social sciences. The authors suggest that mutual criticism, a characteristic of idealized communal scientific endeavor, might help to resolve these problems.

The edited volume, *Controversies and Decisions: The Social Sciences and Public Policy*, contains the following fourteen chapters:

The Autonomy of the Social Sciences, by Charles Frankel
The Role of Values in Social Science Research, Nicholas Rescher

The Reward System of the Social Sciences, Jonathan R. Cole and Stephen Cole
The Ideal of Objectivity among American Social Scientists in the Era of Professionalism, 1876–1916, Hugh Hawkins
Max Weber and the Roots of Academic Freedom, Robert Nisbet
Five Decades of Public Controversy over Mental Testing, Lee J. Cronbach
The Jensen Controversy: A Study in the Ethics and Politics of Knowledge in Democracy, Yáron Ezrahi
Scholars as Public Adversaries: The Case of Economics, Harry G. Johnson
Science Advertising and the ABM Debate, Paul Doty
Scholarly Rights and Political Morality, Kenneth E. Boulding
Federal-Academic Relations in Social Science Research, H. Field Haviland
The Federal Government and the Autonomy of Scholarship, Harvey Brooks
How Good Was the Answer? How Good Was the Question? Adam Yarmolinsky
Legitimating the Social Sciences: Meeting the Challenges to Objectivity and Integrity, Edward Shils.

Problems of confidentiality

A study to investigate incidents involving problems of confidentiality that have arisen in social research in the past decade continues under the direction of James D. Carroll, Syracuse University. The purpose is to describe how the incidents came about, who was involved, what issues were raised, and how the issues were resolved. Thus far, some 200 incidents have been isolated and analyzed. The project is under joint sponsorship of the American Anthropological Association, the American Economic Association, the American Historical Association, the American Political Science Association, the American Psychological Association, the American Sociological Association, the Association of American Geographers, and the Association of American Law Schools. Liaison relationships have been established with the American Statistical Association, the American Psychiatric

Association, the Oral History Association, and the American Association of Public Opinion Research. It is expected that a report to the sponsoring associations and the scholarly community will be ready early in 1976.

Evaluation of public opinion data

During the year, the Social Science Research Council's (SSRC) Center for Coordination of Research on Social Indicators, in Washington, D. C., completed the first phase of a pilot project to evaluate survey data archived at the Roper Public Opinion Research Center dealing with social change in the United States over the past twenty-five years. SSRC and the Roper Center jointly published the results in an index entitled, *Survey Data for Trend Analysis: An Index to Repeated Questions in Surveys Held by the Roper Public Opinion Research Center*. To test the usefulness of the index for studies of recent social trends in the United States, the Center established a small research applications program and invited proposals for assistance in acquiring data from the Roper Center. In the first screening of proposals, three projects were selected: (1) a study of changes in religious beliefs and participation in the United States; (2) a study of trends in attitudes toward the perceived fairness of the tax burden; and (3) an examination of fluctuations in sentiment toward government spending to protect the environment. A second screening of proposals has been scheduled. The principal investigators of the projects selected under this program will be brought together for a workshop in 1976 to assess the problems and potentials of developing social indicators from survey archives.

Committee on National Statistics

The Foundation continued its support of the activities of the Committee on National Statistics, under the direction of William Kruskal, University of Chicago, and located in the National Research Council/National Academy of Sciences (NRC/NAS). During the year the Committee continued work on three projects launched last year and initiated three additional studies. A broad evaluation of the crime victimization surveys sponsored by the Law Enforcement Assistance Administration is well underway. A review of skin cancer statistics is examining the existing data base and exploring inferential models relating assumed changes in the amount of stratospheric ozone to skin cancer incidence and mortality. An interim report on the second aspect of

this work was published in the Academy's recently issued study, "Environmental Impact of Stratospheric Flight." And a beginning has been made in an exploratory study of problems connected with the transition from tables of numbers to words.

Under a grant from the Department of Health, Education, and Welfare, the Committee this year initiated a study of methodology for identifying users of statistics and their specific needs for planning programs within statistical agencies. In cooperation with other units of the National Research Council, the Committee is taking the lead in a study of environmental monitoring, part of a NRC/NAS contract with the Environmental Protection Agency. Finally, at the request of the Bureau of the Census, the Committee is undertaking an exploratory and planning project to develop methods for obtaining empirical information on attitudes and beliefs about confidentiality of statistical data, and on the effects of varying confidentiality policies upon respondent cooperation and accuracy.

Mass media intern program

Ten graduate students in the natural and social sciences were awarded summer internships during the first year of the American Association for the Advancement of Science's (AAAS) Mass Media Intern Program, funded by Russell Sage Foundation and the National Science Foundation. This program is an outgrowth of a three-year experimental project conducted by Russell Sage Foundation for graduate students in the social sciences. The expanded activity is part of AAAS' broad program to increase the public's understanding of science. Its objective is to strengthen the relationship between natural and social scientists and the media by providing an opportunity for young scientists to gain experience in the functioning of the media by serving as working members on the staffs of several types of organizations. Over 150 applications with supporting references were received for the program. Finalists were selected by a jury consisting of Philip Meyer, Knight Newspapers; Joye Patterson, University of Missouri School of Journalism; Tom Bartelt, Reston Cable TV; and Edie Goldenberg, former Russell Sage Foundation Intern who is presently at the University of Michigan. The students who participated in the program were: Julianne

Malveaux, Massachusetts Institute of Technology, who interned at station WFAA-TV (Dallas); Harold Waters, Allegheny General Hospital in Pittsburgh, *The Richmond Times-Dispatch*; Barbara Richards, University of Minnesota, WNEW-TV (New York); David A. Bullock, State University of New York at Binghamton, Warner Cable (Reston, Virginia); Mary Luckey, University of California at Berkeley, *The San Francisco Chronicle*; Ben Zingman, Rutgers University, National Public Radio (Washington, D. C.); George J. Flynn, Washington University, *The Charlotte Observer*; Mark E. Dumont, Western Washington State College, *The San Diego Union*; Gary Gregg, University of Michigan, *The Miami Herald*; and Edward J. Weiler, Northwestern University, KPBS-TV (San Diego).

Computer assisted telephone survey system

Because of the high cost of face-to-face interviews, telephone interviewing is rapidly becoming a major means of collecting survey information. Therefore, this year the Foundation supported the development of a demonstration model of a computer assisted telephone interviewing system under the direction of Richard J. Lutz and Gerald H. Shure, University of California at Los Angeles. It is possible that all survey interviewing can be improved by the standardization that may be achieved by the assistance of a computer, but the problems of bringing and hooking up a computer console for home interviewing limits application in the face-to-face situation. In the case of telephone interviewing, the interviewer can wear a telephone-operator type headset, the interview can be formulated to appear on a console screen, and the interview data can be directly transmitted to the computer.

The computer-assisted interview has a number of advantages. The interview format can provide many more question alternatives and much more specific interview instructions than the paper interview schedule. Instructions and items that depend upon prior responses would be assessed by the computer. Consistency in responses to related questions can be checked throughout the interview and items regiven to the interviewer, if necessary with an alternative wording. Open-ended responses can either be rapidly coded if response categories have been developed or stored in the computer for future automatic coding. In addition, indicators of interviewer differences and

measures of the response-time of respondents can be obtained, and daily summaries of results are possible, increasing possibilities for sequential sample designs and other cost-saving alternatives.

There have been related attempts in the past, but no successful program now exists. As part of the project, work of investigators on previous experiments will be reviewed. The full development of the system will require considerable effort, but it is believed that the development of the demonstration package and accurate cost estimates for the complete system are essential in order to obtain the necessary support required for the full program.

Social Science Research Council

The Foundation is providing support to two major institutions attempting to develop research agendas and to conduct follow-up research designed to achieve major developments in the social sciences. The Social Science Research Council, with funds from Russell Sage Foundation, has been exploring a number of topics including the non-cognitive aspects of the development of children; the "social development" of children; comparative social behavior; comparative public policy; the ethical issues in social science research; ethnic identity; methodological and substantive issues in the development of social indicators; and the prospects for socioeconomic modeling.

Assembly of Behavioral and Social Sciences

In conjunction with the Ford Foundation, Russell Sage Foundation has provided program planning and development funds to broaden the work of the Assembly of Behavioral and Social Sciences, National Research Council/National Academy of Sciences. The major purposes of the Assembly's Program Planning and Development Fund are to give the Assembly an increased capability to respond to government requests for advice on significant problems and to initiate work on studies the Executive Committee and the staff believe to be of particular importance for public policy, but for which substantial contract funds from government or private sources are not available at the outset.

During the first seven months, development work has begun on three major new studies and three others are slated for initiation in the near future. Planning for three major new studies is currently underway. The first is an investigation of new approaches to

socialization with a focus on the transition from education to work; the second is focused on the broad problem of addiction and habitual behavior, taking a broad view of human habit formation and attempting to identify psychological, physiological, and social factors common not only to behaviors traditionally viewed as addictive, but "softer" forms as well; and third, a major effort is underway to develop a long range study of regulatory processes in the United States. Three additional new studies are expected to begin soon: an investigation of the social and psychological dimensions of economic uncertainty; a study of conflict avoidance and resolution; and an exploration of the causes and consequences of conflicting trends toward both separation and integration of racial, ethnic, gender, and age groups in American society in recent years.

Planning Grant Program

Through its Planning Grant Program, the Foundation has sought to develop individual resources in the social sciences by supporting the preparation and submission of proposals by members of minority groups. Last year funds were awarded to A. Wade Boykin, Cornell University, for a conference of Black psychologists to plan collaborative research; and to David Covin, California State University at Sacramento, to plan research on the political culture and the political behavior of Blacks.

Social Science Frontiers papers

The Foundation continued to publish monographs in its Social Science Frontiers Series. The series consists of brief monographs that identify emerging areas of social research. They are intended to review the state of knowledge, pose problems for investigation, and discuss appropriate research strategies in policy-related areas that require expanded social research activities. Social Science Frontiers are distributed widely to social scientists in universities and research institutes and to key policymakers and executives in government and private foundations. This year *Sociology and Architectural Design* by John Zeisel, Harvard University School of Design, was published and became the sixth volume in the series.

In this work Professor Zeisel outlines a potentially fruitful perspective for cooperation between architects and sociologists by discussing how social science research can aid the design process, and by stressing

the value of both before and after studies of design projects. Professor Zeisel focuses primarily on developing strategies for improving social science perspectives in design projects. He leaves for future research and development questions of how social science might provide broader perspectives on design problems. The next monograph in the series, *Social Forecasting Methodology: Suggestions for Research* by Daniel Harrison, University of Michigan, is now in production.

New books: The Sanctity of Social Life

The Foundation's former work in biology and social science resulted this year in two published books. *The Sanctity of Social Life: Physicians' Treatment of Critically Ill Patients* by Diana Crane, University of Pennsylvania, was published this year by the Foundation. The book reports the results of an inquiry concerning doctors' attitudes toward the prolongation and termination of life. Unlike previous treatments of this subject, this study is concerned not with what physicians *should* do for the critically ill patient, but with their *actual* behavior. The hypothesis which is tested in the book is that physicians evaluate the chronically ill or terminally ill patient not only in terms of the physiological aspects of illness, but also in terms of the extent to which he is capable of interacting with others. In other words, the treatable patient is one who, if treated, is capable of resuming his social roles even minimally and temporarily.

Data to test the hypothesis were collected through extensive interviews with physicians in several medical specialties, through some 3,000 questionnaires sent to large samples of physicians in four medical specialties, and through studies of the records of actual hospital patients. The data consistently show that the physician defines the treatable patient as one who can interact or who has the potential to interact in a meaningful way with others in his environment. The findings from this study suggest that the system whereby this type of behavior is controlled by peers, clients, and other social institutions such as the law is in need of reformulation. The problem arises because there is clearly a disparity between official medical policy concerning the treatment of these patients and the actual behavior of physicians. The study suggests that an attempt should be made to alter formal medical

norms in this area by developing guidelines for the withdrawal of treatment with respect to certain specifically defined medical conditions.

The book includes a Foreword by Dr. Charles D. Cook, Downstate Medical Center, State University of New York. Chapters are:

Contents

Introduction
Controversy and the Clinical Mentality: Some Methodological Problems and Their Effects on the Research Design
Decisions to Treat Critically Ill Patients: Social Versus Medical Considerations
The Terminal Patient: Treatment of the Dying and the Dead
Decision-Making Viewed Through Hospital Records
Context for Decision-Making: The Hospital Setting
The Active Physician: Cultural Influences upon Medical Decisions
Departmental Dynamics and the Development of New Medical Technology
Conclusion.

Several years ago the Foundation supported Jay Katz, Yale Law School, in his study of the legal and ethical aspects of medical experimentation on human subjects. A book resulting from that study, *Experimentation with Human Beings*, was published in 1972. Concurrent with that project, Professor Katz and his colleague, Alexander Morgan Capron, University of Pennsylvania, with the support of the Department of Health, Education and Welfare and the National Science Foundation, were studying the impact on the participants and on society of catastrophic diseases such as organ transplantation and hemodialysis. The link between the two projects resulted this year in a second publication: *Catastrophic Diseases: Who Decides What?* In this book Professors Katz and Capron discuss the human choices involved in the ways in which catastrophic diseases are treated.

Catastrophic Diseases

By integrating a discussion of "facts" and "values," the authors point out the forces which affect new developments in medicine and the controversial issues they generate. They explore these issues through

the use of dual conceptual perspectives. Their study first examines and evaluates the authority which should be vested in each of the chief participants in the catastrophic disease process—the physician-investigator, the patient-subject and his relatives, the professionals, and the state. The authors next explore how the roles and capacities of the participants vary not only according to the basic issues they face but also according to the point in decision-making at which these issues arise. In conclusion, Professors Katz and Capron demonstrate the need for a variety of individuals and groups with diverse values to be involved in decision-making in a manner which will not unnecessarily impede the scientific investigation of these diseases, nor affect the rights of the patient. The following chapters are included in the volume:

Contents

Introduction to the Issues
Analytical Framework
The Role of Goals and Values
The Development and Current Status of the Procedures
The Authority and Capacity of Physician-Investigators
The Authority and Capacity of Patient-Subjects
The Authority and Capacity of Professional and Public Institutions
The Formulation of Policy
The Administration of Major Medical Interventions
Review of Decisions and Consequences.

Genetic counseling is a medical specialty which has grown rapidly within the past five years, but which is still not offered in all medical schools, and has no formal board certification. Thus there is no set of common training experiences which all counselors acquire and there are few professional guidelines available for counselors to follow in their actual practice.

Survey of genetic counseling

In 1971 the Foundation published a Social Science Frontiers paper, *Social Aspects of Applied Human Genetics*, by James R. Sorenson, Boston University. Since then, Professor Sorenson has been engaged in a Foundation-supported national survey of the profession of genetic counseling, and has completed several papers, three of which have been published. The

project was completed this year. Professor Sorenson's survey of the background, activities, opinions, and attitudes of 496 counselors reveals a wide range of opinions about the state of the field and appropriate modes of counseling. Most view themselves in a dual role of physician-investigators, a situation which Professor Sorenson sees as exemplifying one type of situation that will become more common as medicine increasingly becomes applied biology. The types of doctor-patient exchange developing in genetic counseling, with increased doctor-patient reciprocity, exchange, mutual trust, and responsibility may reflect a model of doctor-patient interaction likely to become more prevalent in medicine in general.

Visiting Scholar and Graduate Fellow Programs

Visiting Scholar Program

This was the ninth year of the Foundation's invitational Visiting Scholar Program. Provision is made for visiting social scientists, lawyers, writers, and others to join the Foundation's staff for as long as a year. When the program was introduced, its purposes were expressed as follows:

"A Foundation, with its small staff, must attend to ways of assuring the continuing challenge of fresh ideas and points of view and criticisms of current programs. In Foundation work a substantial part of this challenge comes from outside grant applicants and critics. Still, there is always the danger of an institution's becoming isolated from the outside world. This is a greater danger in the case of an endowed Foundation not dependent on external appraisals to the same extent as are other social institutions.

"Making the external evaluation integral to the day-by-day operation of the Foundation can be achieved by a program whereby visitors spend sufficient time on the site to introduce new ideas into Foundation thinking and to take part in Foundation activities in the form of consultation, review of proposals, discussion of personnel, and other events in the working day of the organization.

"Each visiting scholar is expected to continue his own research and writing activities for the major part of his visit to the Foundation, but to participate in its work as the year goes by and be available for comment, advice, and evaluation of its activities."

During 1974–75, two visiting scholars were in residence at the Foundation. Hylan Lewis, Department of Sociology, Brooklyn College, and Metropolitan Applied Research Center, Inc., spent the year continuing his work on comparative studies of minority intellectuals; and Victor Navasky, author (*Kennedy Justice*) and frequent contributor to *The New York Times*, researched a book he is writing on cooperative

witnesses who appeared before various congressional committees in connection with investigations into subversive activities in the media during the cold war years.

For the current year, four visiting scholars are in residence. Navasky is continuing his work; David Glass, Department of Psychology, University of Texas at Austin, is preparing a book based on his study of how coronary-prone individuals respond to uncontrollable and controllable stresses in their environment, and how these factors may be implicated in coronary artery disease and clinical coronary heart disease; David Grossman, former budget director of New York City, is analyzing the efforts at governmental reform during the administration of former New York City Mayor John Lindsay and the events leading up to the City's current fiscal crisis; and Michael Inbar, The Hebrew University, Jerusalem, is working on a study of ethnic integration in Israel, and on a book which will attempt to show how and for which processes of social decision-making computer simulations might be a valid methodology.

Graduate Student Fellowship Program

In keeping with the philosophy guiding the Visiting Scholar Program, and in order to increase the number of social scientists trained in problem-oriented research, the Foundation established in 1970 a resident fellowship program for advanced graduate students in the social sciences. Three fellowships are awarded annually to students who spend a year at the Foundation's offices in mid-Manhattan. Fellows are expected to spend half their time on their own research leading to a doctoral dissertation, and a year at the Foundation also allows participation in project development, staff meetings and seminars, manuscript evaluation, and other administrative activities. In addition, fellows have an opportunity to familiarize themselves with ongoing Foundation projects and to have contact with policymaking agencies that utilize research findings generated by Foundation projects.

Thus far, fifteen fellows have participated in the program: seven sociologists, five political scientists, two social psychologists, and one economist. Last year's fellows were Paula Barron, a sociologist from the University of Chicago, who is now an assistant professor of sociology at the University of Texas at

Dallas; Marvin Dawkins, a sociologist from Florida State University, who is now a staff member at the Joint Center for Political Studies in Washington, D. C.; and Byron E. Shafer, a political scientist from the University of California at Berkeley who has returned to Berkeley where he is now an instructor in the Department of Political Science.

New fellows

The three fellows in residence for the 1975–76 academic year are Andrew Cherlin, a sociologist from the University of California at Los Angeles, who is investigating the increase in the number of families headed by women; Burke D. Grandjean, a sociologist from the University of Texas at Austin, who is studying personality and organization among professional educators, and Carroll Seron, a sociologist from New York University, who is studying reorganization of the courts and judicial reform.

Publications

As an integral part of its operations, Russell Sage Foundation publishes books and pamphlets resulting from activities it has supported. During the past year the Foundation published the following titles:

Ilene N. Bernstein and Howard E. Freeman

Academic and Entrepreneurial Research: The Consequences of Diversity in Federal Evaluation Studies

Presents a systematic study of the expenditure of federal funds for evaluation research and contains recommendations for restructuring the entire evaluation research enterprise.

(1975. 208 pages)

Douglass Cater and Stephen Strickland

TV Violence and the Child: The Evolution and Fate of the Surgeon General's Report

Provides an in-depth study of the Surgeon General's report on television violence and, in effect, the process by which social science is recruited and its findings made relevant to public policy.

(1975. 168 pages)

Thomas D. Cook, Hilary Appleton, Ross F. Conner, Ann Shaffer, Gary Tamkin, and Stephen J. Weber

"Sesame Street" Revisited

Analyzing and reevaluating data drawn from the Educational Testing Service's evaluation of "Sesame Street," the authors examine questions of how much economically disadvantaged children learned from viewing the series and raise anew the issue of the program's national impact.

(1975. 420 pages)

Diana Crane

The Sanctity of Social Life: Physicians' Treatment of Critically Ill Patients

Concerned not with what physicians *should* do for the critically ill, but with their *actual* behavior, this study is based on more than 3,000 questionnaires completed by physicians in four specialties, extensive interviews with physicians, and studies of the records of actual hospital patients.

(1975. 286 pages)

Philip M. Hauser

Social Statistics in Use

Shows the importance of social statistics and how they are put to use in the public interest by illustrating the many applications such statistics have for governmental agencies, for the business community, for labor unions, for educators and researchers, and for the general public.

(1975. 386 pages)

Jay Katz
and
Alexander Morgan Capron

Catastrophic Diseases: Who Decides What?

Discusses patients who suffer from catastrophic illnesses as well as the physician-investigators who treat them; describes the major pressures, conflicts, and decisions which confront all of them; and highlights the forces which affect new developments in medicine—such as kidney and heart transplants—and the controversial issues they generate.

(1975. 294 pages)

David French
and
Elena French

Working Communally: Patterns and Possibilities

Examines the history of the communitarian movements, the conditions necessary for economically successful communes, implications of communal life for individual growth, and the practical aspects of establishing communal work places.

(1975. 288 pages)

Laurence M. Friedman

The Legal System: A Social Science Perspective

Discusses the social forces that produce laws and theories of judicial decision-making, explores the relationship between class structure and the work of legal systems, analyzes the influence of cultural elements in a legal system, and provides new information on the types of legal systems which prevail in a democracy.

(1975. 338 pages)

Kenneth C. Land
and
Seymour Spilerman, Editors

Social Indicator Models

Contains fourteen original chapters written by distinguished scholars concerned with the interpretation and analysis of both objective and subjective social indicators.

(1975. 412 pages)

Edmund S. Phelps, Editor

Altruism, Morality, and Economic Theory

Presents a collection of original articles by economists theorizing on the roles of altruism and morality versus self-interest in the shaping of human behavior and institutions, and examines why some persons behave in an altruistic way without any apparent reward, thus defying the economist's model of utility maximization.

(1975. 242 pages)

The following Social Science Frontiers paper, Number 6, was published in papercover. Single copies are made available by the Foundation without charge.

John Zeisel

Sociology and Architectural Design

Discusses how social science research can aid the design process and focuses primarily on developing strategies for improving social science perspectives in design projects.

(1975. 58 pages)

Financial Statements

Accountants' Report

The Auditing Committee of Russell Sage Foundation:

We have examined the balance sheets of Russell Sage Foundation and its separately maintained Russell Sage Institute of Pathology Fund as of September 30, 1975 and 1974, and the related statements of changes in principal funds; income, expenditures, appropriations, transfers and changes in income funds; changes in reserve for insurance and annuities; sources and uses of income funds; and income, expenditures and change in fund balances for the years then ended. Our examinations were made in accordance with generally accepted auditing standards, and accordingly included such tests of the accounting records and such other auditing procedures as we considered necessary in the circumstances.

In our opinion, the aforementioned financial statements present fairly the financial position of Russell Sage Foundation and the separately maintained Russell Sage Institute of Pathology Fund at September 30, 1975 and 1974, and the results of operations for the years then ended, in conformity with generally accepted accounting principles applied on a consistent basis, except for the change, with which we concur, in the method of accounting for project appropriations as described in note 2 of notes to financial statements. Supplementary data included on pages 80 through 93 have been subjected to the same auditing procedures and, in our opinion, are stated fairly in all material respects when considered in conjunction with the financial statements taken as a whole.

Peat, Marwick, Mitchell & Co.

New York, New York
November 14, 1975, except as to note 9, which is as of November 25, 1975

Russell Sage Foundation
Statements of Sources and Uses of Income Funds
(Cash Basis)

Years ended September 30, 1975 and 1974

Sources of funds	*1975*	*1974*
Portfolio income	$1,617,674	$1,158,352
Publication receipts	212,833	221,386
Funds withdrawn from portfolio	950,000	1,225,000
Reduction of cash	83,948	—
Total	$2,864,455	$2,604,738

Uses of funds		
Research projects	$1,546,280	$1,393,309
Administration	305,177	250,086
Program planning and control	424,317	336,523
Publications	330,664	316,661
Investment management	110,145	133,204
Legal, accounting and other	94,860	81,604
Federal excise tax	53,012	46,991
Increase in cash	—	46,360
Total	$2,864,455	$2,604,738

See accompanying notes to financial statements.

Balance Sheets

September 30, 1975 and 1974

	Assets	1975	1974
Pooled investments (note 5)	Cash	$ 3,284	$ 1,020
	Commercial paper	1,020,000	—
	Certificates of deposit	—	7,786,186
	Bonds and notes, at cost	13,752,430	8,544,153
	Common stocks, at cost	19,953,749	18,700,413
	Total	$34,729,463	$35,031,772
	Less portion owned by Russell Sage Institute of Pathology Fund (note 7)	$ 538,737	$ 538,737
	Total pooled investments	$34,190,726	$34,493,035
Cash	Cash	$ 9,974	$ 93,922
Publications	Inventory, at production cost	$ 406,406	$ 386,340
	Accounts receivable	23,861	15,626
Institute of Pathology	Due from Institute of Pathology	—	$ 3,210
	Total assets	$34,630,967	$34,992,133
	Liabilities and Fund Balances		
Liabilities	Accounts payable	$ 8,635	$ 635,503
	Project appropriations payable (notes 2 and 8)	—	2,142,347
	Federal excise tax payable (notes 4 and 9)	355,696	342,209
	Due to Institute of Pathology	4,627	—
	Reserve for insurance and annuities (see p. 75)	196,639	204,496
	Total liabilities	$ 565,597	$ 3,324,555
Fund balances	Principal funds (note 5)—(see p. 73):		
	Restricted	$10,581,646	$10,581,646
	Unrestricted:		
	Set aside (note 6)	2,250,000	—
	Held for investment purposes	23,815,096	16,407,775
		$26,065,096	$16,407,775
	Net adjusted losses on pooled investments	(2,653,656)	(553,318)
	Income funds (deficit)—(see p. 74):		
	Set aside (note 6)	—	7,680,000
	Unrestricted	72,284	(2,448,525)
	Total fund balances	$34,065,370	$31,667,578
	Total liabilities and fund balances	$34,630,967	$34,992,133

See accompanying notes to financial statements.

Statements of Changes in Principal Funds

Years ended September 30, 1975 and 1974

		1975	1974
Restricted principal fund	Balance at beginning and end of year	$10,581,646	$10,581,646
Unrestricted principal fund	Balance at beginning of year	$16,407,775	$17,589,229
	Marsh Island receipts (notes 4 and 9)	3,790,652	7,551,106
	Loss on withdrawals from investment pool	(406,331)	(284,560)
		$19,792,096	$24,855,775
	Transfers from (to) income funds, net	6,273,000	(8,448,000)
	Balance at end of year	$26,065,096	$16,407,775
	Consisting of:		
	Set aside (note 6)	2,250,000	—
	Held for investment purposes	23,815,096	16,407,775
		$26,065,096	$16,407,775
Net adjusted gains (losses) on pooled investment transactions	Balance at beginning of year	$ (553,318)	$(1,409,363)
	Net gain (loss) on investment transactions (including share adjustments—1975, $409,068; 1974, $286,016)—(note 5)	(2,100,338)	381,194
	Cumulative effect on prior years (to September 30, 1973) of changing the method of accounting for investment transactions (note 5)	—	474,851
	Balance at end of year	$(2,653,656)	$ (553,318)

See accompanying notes to financial statements.

Statements of Income, Expenditures, Appropriations, Transfers, and Changes in Income Funds

Years ended September 30, 1975 and 1974

	Income Funds	1975	1974
Income	Income from investments	$ 1,617,674	$ 1,158,352
	Sale of publications	214,414	212,882
	Total income	$ 1,832,088	$ 1,371,234
Expenditures and appropriations	Projects, net (note 2)	$ 1,546,280	$ 1,182,442
	Program planning and control	424,317	336,523
	Administration, legal and auditing	376,732	314,109
	Publications and editorial	310,598	261,951
	Investment management	110,145	133,204
	Federal excise tax (notes 4 and 9)	66,500	342,200
	Insurance and annuities	10,314	8,628
	Marsh Island administration expense	15,740	13,653
	Total expenditures and appropriations	$ 2,860,626	$ 2,592,710
	Excess of expenditures and appropriations over income	$ (1,028,538)	$ (1,221,476)
Cumulative effect	Cumulative effect on prior years (to September 30, 1974) of changing the method of accounting for project appropriations (note 2)	2,142,347	—
Transfers from (to)	Unrestricted principal fund, net	(6,273,000)	8,448,000
		$ (5,159,191)	$ 7,226,524
Fund balance (deficit)	Beginning of year	5,231,475	(1,995,049)
	End of year	$ 72,284	$ 5,231,475
	Consisting of:		
	Set aside (note 6)	—	$ 7,680,000
	Unrestricted	72,284	(2,448,525)
		$ 72,284	$ 5,231,475

See accompanying notes to financial statements.

Statements of Changes in Reserve for Insurance and Annuities

Years ended September 30, 1975 and 1974

	1975	*1974*
Balance at beginning of year	$204,496	$214,107
Appropriation from income funds	10,314	8,628
	$214,810	$222,735
Loss on withdrawal from investment pool	2,737	1,456
Insurance and annuity payments	15,434	16,783
	$ 18,171	$ 18,239
Balance at end of year	$196,639	$204,496

See accompanying notes to financial statements.

Notes to Financial Statements

September 30, 1975 and 1974

1. Summary of Significant Accounting Policies

The significant accounting policies followed by Russell Sage Foundation are described below to enhance the usefulness of the financial statements to the reader.

a. The accompanying financial statements have been prepared substantially on the accrual basis of accounting, and accordingly reflect all significant receivables and payables. Income from investments is recognized on a cash-collected basis. Commencing in the current year, expenditures for projects are recognized when disbursed based on predetermined payment schedules which approximate costs incurred. In prior years, project expenditures were recognized when appropriated (see note 2).

b. To ensure observance of limitations and restrictions placed on the use of available resources, the accounts and financial activity are classified for accounting and reporting purposes into fund groups that are in accordance with activities and objectives specified.

c. The resources of the Foundation are accounted for in two fund groups—income and principal. The principal fund consists of nonexpendable (restricted) and expendable (unrestricted) resources. Nonexpendable resources have been received from a benefactor who by the terms of the conveying instruments has stipulated that the principal may never be expended. The New York State Not-For-Profit Corporation Law permits the use of realized gains on investment transactions of the restricted principal fund, provided that the original gift, in this case $10,000,000, is not impaired. Expendable resources represent the unexpended balance of the unrestricted principal fund and net gains on investment transactions, which are available to support current year's activities in accordance with the provisions of the New York State Not-For-Profit Corporation Law.

d. Certain balances of the prior year have been reclassified to conform with the current year's financial statement presentation.

2. Accounting Change

Prior to October 1, 1974, project appropriations were recognized at the time of their approval by the Board of Trustees, and accordingly amounts unpaid were reflected as liabilities in the Foundation's balance sheets. Commencing with the current year, project appropriations are expensed in accordance with a predetermined payment schedule corresponding to the approximate effort expended on the projects, plus amounts accrued, if any, representing contractual obligations of the Foundation under terms of the appropriations. The effect of the change in the current year was to decrease project expenditures by approximately $111,000.

(*Continued*)

The effect of the change, had it occurred in 1974, is set forth below in the pro forma statements and compared to 1974 as reported under the prior method.

	1974	
	As reported	*Pro forma*
Total income	$ 1,371,234	$ 1,371,234
Appropriations and expenditures:		
Projects, net	$ 1,182,442	$ 1,393,309
All other	1,410,268	1,410,268
	$ 2,592,710	$ 2,803,577
Excess of appropriations and expenditures over income	$(1,221,476)	$(1,432,343)
Transfers	8,448,000	8,448,000
	$ 7,226,524	$ 7,015,657
Cumulative effect on prior years (to September 30, 1973) of changing the method of accounting for projects	—	2,353,214
Fund balance (deficit):		
Beginning of year	(1,995,049)	(1,995,049)
End of year	$ 5,231,475	$ 7,373,822

It is the opinion of the management of the Foundation that the newly adopted accounting principle is preferable because the Foundation is an operating Foundation and, as such, the Foundation's appropriations for projects are not unconditional grants but funds earmarked for projects which remain under the close supervision and control of the Foundation's staff.

3. *Pension Plan*

The Foundation has a non-contributory retirement plan which provides for purchase of annuities for employees. Total expenditures for this plan amounted to $72,155 in 1975 as compared to $56,010 in 1974. There are no unfunded past service costs.

4. *Taxes*

The Foundation is exempt from Federal income tax under Section 501(c)(3) of the Internal Revenue Code. However, as provided by the Tax Reform Act of 1969, it is subject to a four percent excise tax on net taxable investment income, and accordingly has provided in the accounts for the estimated excise tax liability.

(Continued)

4. Taxes (continued)

In the opinion of management, based on consultations with legal counsel, amounts received by the Foundation with respect to its interest in Marsh Island may not be subject to the Federal excise tax. The Foundation is seeking a ruling from the Internal Revenue Service which, if received, would allow the Foundation to reverse liabilities for Federal excise taxes of approximately $332,000 and to apply for refunds of taxes paid in prior years of approximately $14,000.

5. Pooled Investments

Investment assets of the principal funds of the Foundation and its separately maintained Russell Sage Institute of Pathology are pooled for investment purposes. At September 30, 1975 and 1974, the equity of the pooled funds at market value was as follows:

	1975	*1974*
Russell Sage Foundation:		
Restricted principal	$ 8,704,332	$ 7,679,469
Unrestricted principal	26,980,712	21,213,556
	$35,685,044	$28,893,025
Russell Sage Institute of Pathology Fund: Principal	375,875	331,618
	$36,060,919	$29,224,643

Prior to October 1, 1973, pooled investment transactions were accounted for by the average cost method. Commencing in 1974, such transactions have been accounted for by the specific identification method of accounting. The effect of this change in 1974 was to reduce the net gains on investment transactions shown on page 73 by approximately $131,000.

6. Special Projects

By action of the Board of Trustees, subject to approval of the Commissioner of Internal Revenue, unrestricted principal funds aggregating $2,250,000 have been set aside for a special project to be conducted in future years. The request in 1974 for a set aside aggregating $7,680,000 was withdrawn during the current year.

7. Russell Sage Institute of Pathology Fund

The Foundation requested, and on June 20, 1975, the Supreme Court of the State of New York authorized, the transfer of all of the assets of the Russell Sage Institute of Pathology Fund to Cornell University. Cornell University Medical College has received income of the Institute of Pathology Fund since the Fund's establishment in 1907.

(Continued)

8. Commitments

Annual commitments for payments under project appropriations are as follows:

Year ending September 30	*Amount*
1976	$1,369,905
1977	721,812
1978	112,596
1979	48,807
	$2,253,120

Office premises are occupied under a lease extending to April 30, 1980, and requiring annual net rental payments of approximately $84,000.

9. Subsequent Event

Under date of November 25, 1975, the Foundation received a ruling from the Internal Revenue Service providing that amounts received under leases and permits granted by the State of Louisiana on Marsh Island constitute, for tax purposes, receipts from the sale of property subject to long-term capital gains treatment. For the year ended September 30, 1974, the Foundation accrued Federal excise taxes on amounts received under such leases and permits as though the amounts were ordinary investment income. In addition, for the years ended September 30, 1973 and 1972, the Foundation provided and paid Federal excise taxes on such amounts as ordinary investment income.

As a result of the ruling, the Foundation has reversed a portion of the accrual applicable to receipts for the year ended September 30, 1974, aggregating $18,400. The Foundation is also entitled to file claims for refunds for 1973 and 1972 of $16,300 and $6,700, respectively, for Federal excise taxes paid applicable to receipts under the Marsh Island leases and permits. The amounts applicable to 1974, 1973, and 1972 have been reflected as reductions of the 1975 Federal excise tax expense and related liability.

Project Appropriations, Disbursements, and Unpaid Balances

Year ended September 30, 1975

Title of project, cooperating institution, and person in charge

Age and Aging

Aging and Society, Bowdoin College, Matilda White Riley

Dynamics of Age Stratification: The Latuka Transition, Bowdoin College and Rutgers University, David Kertzer and Anne Foner

Education and Child Rearing in China, Cornell University, Urie Bronfenbrenner

Institutional Change, Changes in Age Structure and the Life Course, University of California, Berkeley, Neil J. Smelser

The Status of the Child and Child Care Systems, Russell Sage Foundation, Sarane Spence Boocock

Structural Consequences of the Shift from Family Care to Group Care of Pre-School Children in Selected American Communities, Columbia University, Benjamin Zablocki

Transition from Adolescence to Adulthood: A Follow-Up Study of the Adolescent Society, Battelle Human Affairs Research Center, Margaret Mooney Marini

Evaluation Research and Organizational Performance

Collation and Dissemination of Evaluation Research Results and Methodology, Russell Sage Foundation, Howard E. Freeman

Consequences of Introducing Educational Testing: A Societal Experiment, Boston College, Peter W. Airasian and George Madaus; St. Patrick's College, Dublin, Ireland, Thomas Kellaghan

Development of Techniques for the Measurement of Public Service: A Pilot Study, University of Massachusetts, Amherst, Peter H. Rossi

Evaluation Critiques, Russell Sage Foundation, Howard E. Freeman

The Evaluation of Evaluations, Northwestern University, Richard A. Berk

Evaluation Research in State Government, Brandeis University Robert N. Binstock

Total appropriations to Sept. 30, 1974	*Balance Oct. 1, 1974*	*Appropriated during year*	*Disbursed during year*	*Balance Sept. 30, 1975*
$ 22,600	$ 22,600	$ 6,000	$ 28,600	
		39,859	39,859	
48,875	39,100			$ 39,100
		24,737	4,948	19,789
53,683	18,181	114,402	57,433	75,150
88,780	44,390		44,390	
		85,740		85,740
59,830	3,203	(2,565)	638	
150,000	104,396		46,875	57,521
85,372	74,700		42,686	32,014
		95,903	13,129	82,774
38,393	564	(564)		
		90,490	12,098	78,392

Project Appropriations, Disbursements, and Unpaid Balances

(Continued)

Title of project, cooperating institution, and person in charge
Evaluation of Sesame Street Evaluation, Northwestern University, Thomas D. Cook
Increasing the Contribution of Program Evaluation in Education, Stanford University, Lee J. Cronbach
Medical Care of U. S. Casualties in Vietnam, Russell Sage Foundation, Howard E. Freeman
Occupational Organization Among Professionals: A Comparative Study of Teachers, Engineers, and Social Workers in New York City, Brooklyn College, George R. Vickers
Performance Monitoring of Public and Quasi-Public Service Organizations, Institute of Public Services Performance, Stanley M. Altman
Policy Analysis—Theory and Action, The Rand Corporation, Anthony H. Pascal
Politics of Street-Level Bureaucracy, Joint Center for Urban Studies, Massachusetts Institute of Technology and Harvard University, Michael Lipsky
Record Keeping in Higher Education, National Research Council/National Academy of Sciences, David A. Goslin
Sociological Research in Public School Systems, University of California, Berkeley, Charles Y. Glock and Alan B. Wilson
Validity, Reliability, and Sample Design in Project Scorecard, The Fund for the City of New York, Phillip R. Shaver
Law and Social Science
Adjudication versus Administration: An Organizational Analysis of Dispositions in Federal District Courts, New York University, Wolf V. Heydebrand
Cross-Disciplinary Residencies in Law and Social Science, Russell Sage Foundation, Stanton Wheeler
Legal Problems and Legal Services, Amherst College, Austin D. Sarat

Total appropriations to Sept. 30, 1974	*Balance Oct. 1, 1974*	*Appropriated during year*	*Disbursed during year*	*Balance Sept. 30, 1975*
		$ 4,720	$ 4,720	
		197,915	65,971	$131,944
$ 41,950	$ 1,793	(1,793)		
42,403	12,128		12,128	
		94,467	11,809	82,658
45,400	7,665	(7,665)		
141,873	82,759		47,292	35,467
61,657	838	(1,994)	(1,156)	
		(1,168)	(1,168)	
		89,470	22,368	67,102
77,481	46,489		46,489	
*	336,662		72,913	263,749
		49,206	24,603	24,603

** Amount appropriated prior to beginning of year is not shown because fund is a continuing one.*

Project Appropriations, Disbursements, and Unpaid Balances

(Continued)

Title of project, cooperating institution, and person in charge

Social Control of Deviant Behavior, Russell Sage Foundation, Stanton Wheeler

Sourcebook on Law and Psychology, University of Washington School of Law, Wallace D. Loh and Neil J. Vidmar

Study of Chicago Bar Association, American Bar Foundation, John P. Heinz and Edward O. Laumann

Survey of Legal Needs of the Public, American Bar Foundation, Barbara A. Curran

Training Program in Law and Behavioral Sciences, Yale Law School, Abraham S. Goldstein

Civil Liberties and Social Control

Civil Liberties and Social Control, University of California, Berkeley, Herbert McClosky

Increasing the Use of Social Science Research

Dissemination of Analytical Knowledge for Public Policy, University of California, Berkeley, Allan P. Sindler

Government Receptivity to Social Science, Russell Sage Foundation, Arnold Shore

Impact of Social Science Research on Social Policy, Russell Sage Foundation, Arnold Shore

Increasing the Use of Social Science Research, Russell Sage Foundation, Shelley Marshall and Garry D. Brewer

Race, Gender, and Ethnicity

Analytical Studies of Social Trends, University of Arizona, Otis Dudley Duncan and Beverly Duncan

Elected Black Officials, Indiana State University, James E. Conyers

Total appropriations to Sept. 30, 1974	*Balance Oct. 1, 1974*	*Appropriated during year*	*Disbursed during year*	*Balance Sept. 30, 1975*
$164,400	$ 2,757	$ 9,000	$10,296	$ 1,461
		21,111	10,555	10,556
		67,532	16,883	50,649
71,025	35,512		35,512	
335,800	41,975		41,975	
		260,304	16,269	244,035
		93,695	11,712	81,983
		45,979	9,118	36,861
71,946	35,793	(979)	34,814	
13,302	13,302	127,350	68,287	72,365
68,116	45,411		22,705	22,706
		2,226	2,226	

Project Appropriations, Disbursements, and Unpaid Balances

(*Continued*)

Title of project, cooperating institution, and person in charge

The Life and Death of "Sambo": The National Stereotype in Popular Culture, Boston University, Joseph Boskin

Social Unrest on Black Campuses, Florida A & M University, Charles U. Smith

Work, Sex, and the Family, University of California, Los Angeles, Valerie Kincade Oppenheimer

Historical Studies of Social Policy

Conference on Social History and Policy Formation, Russell Sage Foundation, Stanton Wheeler

History and Social Policy, Russell Sage Foundation and Columbia University, Stanton Wheeler and David Rothman

Philanthropy

Altruism and Economic Theory, Columbia University, Edmund S. Phelps

Evaluation Program of Russell Sage Foundation 1959–1969, Russell Sage Foundation, Hugh F. Cline

Developing the Social Sciences

Assembly of Behavioral and Social Science Development, National Research Council/National Academy of Sciences, David A. Goslin

Board of Human Resources, National Research Council/National Academy of Sciences, William C. Kelley

Computer Uses in Social Science Research, Russell Sage Foundation, Hugh F. Cline

Confidentiality of Research Sources and Data, American Political Science Association, James D. Carroll

Consortium to Increase the Number of Black Ph.D.'s in the Scholarly Professions: Sociology as a Test Case, North Carolina Agricultural and Technical University, Will Scott

Total appropriations to Sept. 30, 1974	*Balance Oct. 1, 1974*	*Appropriated during year*	*Disbursed during year*	*Balance Sept. 30, 1975*
$ 15,302	$ 15,302		$ 15,302	
5,500	1,303	$ (1,303)		
		19,543	19,543	
10,000	10,000	(3,228)	6,772	
		51,228		$ 51,228
		(5,123)	(5,123)	
25,328	197	(197)		
200,000	200,000		125,000	75,000
		71,958	71,958	
132,240	5,544		3,517	2,027
69,000	43,125		34,500	8,625
202,895	200,000			200,000

Project Appropriations, Disbursements, and Unpaid Balances

(Continued)

Title of project, cooperating institution, and person in charge
Cooperative Study for Increasing the Number of Black Doctorates, North Carolina Agricultural and Technical University, Will Scott
Developing a Demonstration System For Computer-Assisted Telephone Survey, University of California, Los Angeles, Richard J. Lutz and Gerald H. Shure
Evaluation Decision-Making with Analysis of Variance, University of Wisconsin, G. William Walster
Genetic Counseling: Professionals in Applied Human Genetics, Boston University, James R. Sorenson
Graduate Fellowship Program, Russell Sage Foundation, Arnold Shore
Macrosociological Model of the United States, State University of New York, Stony Brook, Robert W. Hodge
Major Characteristics of the United States Social Science Research Enterprises, National Academy of Public Administration Foundation, Harold Orlans
Mass Media Summer Internships in the Social Sciences, American Association for the Advancement of Science, William Blanpied
Nursing Role in Patient Care, Russell Sage Foundation, Esther Lucile Brown
Pilot Project on the Dissemination of Survey Trend Data, Center for Coordination of Research on Social Indicators, Robert Parke
President's Discretionary Fund, Russell Sage Foundation, Hugh F. Cline
Program Development, Social Science Research Council, Eleanor Bernert Sheldon
Proposal Planning Fund, Russell Sage Foundation, Walter L. Wallace
Public Understanding of Value of Social Statistics, University of Chicago, Philip M. Hauser
Social Science Frontiers, Russell Sage Foundation, Sarane Spence Boocock
Social Science and Mass Media Summer Intern Program, Russell Sage Foundation, Hugh F. Cline
Visiting Scholar Fund, Russell Sage Foundation, Hugh F. Cline

Total appropriations to Sept. 30, 1974	*Balance Oct. 1, 1974*	*Appropriated during year*	*Disbursed during year*	*Balance Sept. 30, 1975*
		$ (83)	$ (83)	
		24,364	12,181	$ 12,183
$106,073	$ 13,338		13,338	
		(403)	(403)	
348,367	127,093		66,712	60,381
48,175	6,021		6,021	
6,677	3,677		3,677	
65,779	60,297		21,926	38,371
103,875	234			234
42,400	10,600	5,000	15,600	
*	70,755	15,032	70,807	5,980
300,000	50,000		50,000	
101,548	30,522		11,099	19,423
43,500	15,910	(14,257)	1,653	
108,900	67,554		10,090	57,464
50,400	8,856	(8,856)		
894,741	231,801		106,216	125,585
	$2,142,347	$1,657,053	$1,546,280	$2,253,120

** Amount appropriated prior to beginning of year is not shown because fund is continuing one.*

Pooled Investments

September 30, 1975

	Summary	Cost	Quoted market value
Cash	Cash	$ 3,284	$ 3,284
Commercial paper	Commercial paper	$ 1,020,000	$ 1,020,000
Bonds	U. S. Government	$ 1,552,750	$ 1,459,623
	Railroads	243,330	152,950
	Utilities	7,619,838	6,869,764
	Industrials	685,750	584,875
	Miscellaneous	3,650,762	3,390,813
	Total bonds	$13,752,430	$12,458,025
Common stocks	Utilities	$ 464,795	$ 820,000
	Financials	2,392,490	2,778,250
	Industrials	17,096,464	18,981,360
	Total common stocks	$19,953,749	$22,579,610
	Total pooled investments	$34,729,463	$36,060,919
	Less portion owned by Russell Sage Institute of Pathology Fund	538,737	375,875
	Total pooled investments—Russell Sage Foundation	$34,190,726	$35,685,044

Cash	Par value	Cost	Quoted market value
Cash		$ 3,284	$ 3,284
Commercial paper			
General Electric Credit Corp. October 15, 1975, 6⅛%	$150,000	$ 150,000	$ 150,000
United States Steel Credit Corp. October 30, 1975, 6⅞%	870,000	870,000	870,000
		$1,020,000	$1,020,000

Pooled Investments

(Continued)

	Bonds	Par value	Cost	Quoted market value
U. S. Government obligations	Farmers Home Administration, note, 1989, 9%	$500,000	$ 505,000	$ 500,000
	Federal Land Banks Consolidated Federal Farm Loan:			
	February 24, 1976, 5%	250,000	250,000	246,875
	February 20, 1978, 4⅛%	100,000	100,000	90,375
	Federal National Mortgage Association:			
	April 1, 1979, 5.35%	450,000	447,750	403,312
	April 1, 1980, 5.30%	250,000	250,000	219,061
	Total U. S. Government obligations		$1,552,750	$1,459,623
Railroads	Atchison, Topeka & Santa Fe Ry. Co., 1995, 4%	$ 90,000	$ 74,173	$ 50,175
	St. Louis Southwestern Ry. Co., 1st mtge., 1989, 4%	80,000	72,907	45,400
	Southern Ry. Co., 1st cons. mtge., 1994, 5%	100,000	96,250	57,375
	Total railroads		$ 243,330	$ 152,950
Utilities	American Telephone & Telegraph Co. debs.:			
	1995, 5⅜%	$ 200,000	$ 198,250	$ 137,500
	2001, 5⅛%	500,000	302,805	305,625
	2003, 7⅛%	100,000	79,910	81,125
	Cleveland Electric Illuminating, 1st mtge., 2010, 9.85%	500,000	500,000	500,000
	Consolidated Edison Co. of N. Y., 1st mtge., 1996, 5%	300,000	302,331	138,375
	Consolidated Natural Gas Co., deb., 1982, 5%	166,000	168,390	133,838
	Michigan Bell Telephone Co., deb., 1988, 3⅛%	100,000	100,769	52,500
	Michigan Consolidated Gas Co., 1st mtge., 1991, 5⅞%	500,000	484,375	344,375
	Mountain States Telephone and Telegraph, 2012, 9¾%	500,000	493,750	503,125
	New York Telephone Co., note, 1983, 8%	2,500,000	2,517,500	2,415,625
	New York Telephone Co., 1st ref. mtge., Series P, 2006, 4⅞%	500,000	443,696	280,000

Pooled Investments

(Continued)

	Bonds, (Continued)	*Par value*	*Cost*	*Quoted market value*
Utilities (continued)	New England Telephone and Telegraph, 2010, 9½%	$250,000	$ 250,625	$ 244,063
	Quebec Hydro-Electric Commission, Canada, deb., 1991, 6¼%	200,000	200,000	135,500
	Southern California Edison Co., 1994, 7⅛%	100,000	81,866	79,250
	South Central Bell Telephone Co., 2014, 10%	500,000	496,250	520,625
	Southwestern Bell Telephone deb., 1992, 4¾%	210,000	146,071	130,988
	Northwestern Bell Telephone deb., 2014, 10%	600,000	602,000	624,750
	General Telephone of Florida deb., 2004, 10¾%	250,000	251,250	242,500
	Total utilities		$7,619,838	$6,869,764
Industrials	Hystron Fibers, Inc., note, 1986, 5¾%	$240,000	$ 240,000	$ 195,600
	Ingersoll-Rand Co., note, 1991, 4¾%	440,000	346,250	317,900
	Texaco, Inc., deb., 1983, 3⅝%	100,000	99,500	71,375
	Total industrials		$ 685,750	$ 584,875
Miscellaneous	Associates Investment Co., deb., 1976, 4½%	$ 100,000	$ 101,950	$ 97,000
	B. P. North American Finance Corp., 2000, 10%	300,000	300,000	297,375
	Charter New York Corp., deb., 1991, 5¾%	500,000	505,000	321,250
	General Electric Credit Corp., 1981, 8-2/5%	500,000	500,000	500,000
	General Motors Acceptance Corp., deb., 1987, 4⅛%	300,000	249,000	207,000
	Houston Power and Light, deb., 2004, 10⅛%	250,000	250,625	252,813
	International Bank for Reconstruction and Development:			
	1979, 4¼%	200,000	199,000	175,500
	1980, 8%	550,000	545,187	534,875
	Province of Ontario, Canada, 2004, 10¼%	1,000,000	1,000,000	1,005,000
	Total miscellaneous		$3,650,762	$3,390,813

Pooled Investments

(Continued)

	Common Stocks	*Shares*	*Cost*	*Quoted market value*
Utilities	Magma Power	20,000	$ 101,131	$ 70,000
	Texas Utilities	40,000	363,664	750,000
	Total utilities		$ 464,795	$ 820,000
Financials	Citicorp	55,000	$ 990,402	$1,443,750
	Farmers Group, Inc.	9,000	335,953	499,500
	Texas American Bankshares	20,000	378,712	310,000
	Travelers Corporation	25,000	687,423	525,000
	Total financials		$2,392,490	$2,778,250
Industrials	Automatic Data Processing, Inc	22,000	$ 678,280	$1,056,000
	Baker Industries, Inc.	3,000	60,470	25,860
	Betz Laboratories, Inc.	24,000	455,125	822,000
	Burroughs Corporation	10,000	479,302	865,000
	C.P.C. International	20,000	651,456	780,000
	Donaldson Co., Inc.	20,000	5[illegible]8,898	300,000
	Eastman Kodak Co.	10,000	389,933	907,500
	Echlin Manufacturing	15,000	273,631	311,250
	E. I. du Pont de Nemours & Co.	6,000	875,082	644,250
	Foster Wheeler Corporation	18,000	671,659	438,750
	Fluor Corp.	34,000	688,353	1,394,000
	International Business Machines Corporation	13,000	846,100	2,447,250
	Johnson & Johnson Co.	12,000	471,350	948,000
	Kerr-McGee Corp.	7,000	617,350	583,625
	Kresge, S. S.	25,000	909,708	743,750
	Lilly, Eli	12,000	872,274	610,500
	Peabody Galion Corporation	52,000	1,189,250	825,500
	Sears, Roebuck & Co.	14,000	933,141	859,250
	Sony Corp. ADR	64,000	1,113,248	552,000
	Standard Oil Co. of Indiana	40,000	1,933,889	1,870,000
	Stop & Shop Companies, Inc.	25,000	527,787	428,125
	White Consolidated Industries	25,000	517,525	493,750
	Xerox Corporation	20,000	1,372,653	1,075,000
	Total industrials		$17,096,464	$18,981,360

Russell Sage Institute of Pathology Fund

This fund is an endowment
given to Russell Sage Foundation
by Mrs. Russell Sage
to be maintained for the benefit
of Russell Sage Institute of Pathology,
a medical research organization
operating in the New York Hospital-
Cornell University Medical Center

Balance Sheets

September 30, 1975 and 1974

Assets	1975	1974
Investments, at cost (market value—1975, $375,875; 1974, $331,618)	$538,737	$538,737
Due from Russell Sage Foundation	4,627	—
	$543,364	$538,737
Liabilities and Fund Balances		
Due to Russell Sage Foundation	$ —	$ 3,210
Accrued expenses	1,900	—
	$ 1,900	$ 3,210
Fund balances:		
Income (deficit)—unrestricted	$ 2,727	$ (3,210)
Principal—restricted	538,737	538,737
Total fund balances	$541,464	$535,527
	$543,364	$538,737

See notes to financial statements—Russell Sage Foundation.

Statements of Income, Expenditures, and Change in Fund Balances

Years ended September 30, 1975 and 1974

Income Fund	1975	1974
Income from investments	$ 17,837	$ 14,441
Expenditures:		
Payments of Russell Sage Institute of Pathology	10,000	15,000
Legal and accounting expenses	1,900	—
	$ 11,900	$ 15,000
Excess (deficiency) of revenues over expenditures	$ 5,937	$ (559)
Fund balance (deficit):		
Beginning of year	(3,210)	(2,651)
End of year	$ 2,727	$ (3,210)

Principal Fund		
At beginning and end of year	$538,737	$538,737

See notes to financial statements—Russell Sage Foundation.